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Strengthening of the coordination of humanitarian and disaster relief assistance of the United Nations, including special economic assistance: special economic assistance to individual countries or regions

Emergency humanitarian assistance to Ethiopia

Report of the Secretary-General**

Summary

Ethiopia ranks among the poorest countries in the world with high population growth, limited land availability, poor land management practices, fractured road infrastructure and low industrial employment levels. When combined with natural factors, especially cyclical periods of drought and regular onsets of heavy rain, those features are major impediments to developmental growth. In addition, continued internal conflicts hamper security, particularly in the Somali region, and hence also humanitarian interventions.

In Ethiopia, the number of people defined as chronically food insecure is growing every year, despite high levels of emergency assistance, as a result of inadequate development assistance over the last decade. Consequently, a new approach is required to separate chronic and acute food insecurity, and immediate and substantial action is needed to prevent the further deterioration and unavoidable deaths of people who are already in critical nutritional condition. Special emphasis should be placed on improving nutritional capacity to meet emerging needs, emergency water activities and vaccination campaigns. Moreover, substantial relief supplies will continue to be necessary to ensure the rehabilitation of the affected areas and population segments, with the aim of eventually focusing attention on medium- and long-term goals related to recovery and greater food security.

* A/58/150.
** The submission of the report was delayed because of extended consultations with the field.

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I. Introduction

1. The present report is submitted in compliance with General Assembly resolution 57/149 of 16 December 2002, in which the Assembly requested the Secretary-General to report at its fifty-eighth session on the implementation of the resolution. The report reviews the current situation in Ethiopia in relation to the ongoing humanitarian crisis, taking into consideration the assistance provided by the United Nations and its partners.

II. Socio-economic situation

A. Political and security situation

2. A significant development in the political situation in Ethiopia is the administrative restructuring process, which involves a redefinition of administrative boundaries within regions. Most of the changes cut existing constituencies into smaller ones and thereby have the potential of reducing tensions by recognizing the needs and demands of smaller ethnic groups and communities. The forthcoming national population census, due to be undertaken in 2004, may create some political tension, particularly along already disputed administrative boundaries, which could change based on the census results.

3. Former conflicts with neighbouring Somalia and Eritrea still affect the security situation in Ethiopia. Some regions, such as Somali, Afar and Gambella, remain very volatile. For instance, in the Gambella region daily tribal clashes between Anuak and Nuer/Dinka tribes erupt sporadically. Clashes started in Fugnido refugee camp in early 2002 and became so violent and regular that relocation of more than 24,000 Nuer refugees became necessary. Relocation to a safer site is currently under way. Furthermore, since January 2003, fighting has extended and has started to include people from the highlands living in Gambella and Fugnido towns.

4. In the Afar region, the Issa, Afar and Oromo tribal disputes over natural resources, such as access to pasture, water, and cattle, resumed in April 2002 and have been a problem ever since, disrupting traffic on the import road from Djibouti to Addis Ababa. Other security concerns include explosive devices, armed groups and smuggling. During the last three months several explosive devices were placed on trains operating on the railway line between Djibouti and Addis Ababa. Three such devices exploded on trains in Ethiopia near the Djibouti border. Certain sections of the main import road between Djibouti port and Addis Ababa remain unsafe despite the presence of the security forces.

5. The border of the Somali region with the former Somalia, now Somaliland, Puntland and Somalia, is difficult to control and hence easily crossed by opposition groups, armed groups and smugglers transporting and trading electronic goods and weapons. Recently, the Government of Ethiopia has been strictly enforcing measures to control cross-border smuggling activities. Despite patrols and numerous checkpoints set up by the Ethiopian police and customs authorities to reduce and control contraband, many people still take the risk of smuggling goods across the border, owing to a lack of alternative income opportunities. The major opposition armed groups operating in the Somali and Oromiya regions are the Ogaden National Liberation Front (ONLF), the Oromo Liberation Front (OLF), Al-Itahad and the

Islamic Front for the liberation of Oromiya (IFLO). Owing to the former war with Somalia, an unknown number of landmines and unexploded ordnances remain hidden in the soil, posing a threat to travellers and pastoralists in the Somali region. The latest security incidents reported from Tigray region were landmine explosions in border locations with Eritrea, notably in Zalambesa and between Inda Selase and Shararo.

6. Since the signing in Algiers in 2000 of the Peace Agreement between Eritrea and Ethiopia (A/55/686-S/2000/1183) to permanently terminate military hostilities, a neutral Boundary Commission has been established to delimit and demarcate the colonial treaty border. The United Nations Mission to Ethiopia and Eritrea (UNMEE) established a Temporary Security Zone within Eritrean territory, provided more than four thousand peacekeeping forces to patrol the buffer zone and was successful in preventing any subsequent major incidents. The international Boundary Commission defined a new border between the two countries in April 2002, but final acceptance of major parts of the Boundary Commission's decision is still lacking, particularly concerning the settlement of Badme. Despite these security concerns, the political situation in Ethiopia is considered generally stable and calm.

B. Humanitarian situation

7. On 7 December, the Government of Ethiopia together with the United Nations published a joint emergency appeal for 2003[1] that identified 11.3 million people in need of 1.4 million tons of food and an additional 3 million people at risk. In March and April, rapid joint multi-agency assessments were conducted countrywide to determine adjustments in current beneficiary numbers and to identify areas where assistance requirements were particularly acute. According to the assessment results, an additional 1.2 million people would require immediate food aid until the end of the year, bringing the total to 12.6 million people in need of assistance and of an additional 79,122 tons of food. The new assessments were necessary as a result of the deteriorating nutritional status in many of the worst-affected areas as well as other related factors, such as increasing social disruption, school dropouts, distress migration and the dilution of food aid rations. Additional beneficiaries were highest in Oromiya (710,650) and the Southern Nations, Nationalities and Peoples region (SNNP) (324,600), followed by Tigray (180,027) and Amhara (11,800). From March to May, the humanitarian community witnessed a dramatic humanitarian deterioration in nutritional status in many parts of southern Ethiopia, particularly in the SNNP region, where a number of factors led to increased suffering. The general situation in many districts in the Southern Nations, Nationalities and Peoples region was critical despite ongoing relief food distribution by the Government and non-governmental organizations, owing in part to an increase in the number of people in need, who were forced to share their food.

8. The Southern Nations, Nationalities and Peoples region is not the only area in the country that is suffering from high malnutrition levels. A total of 90 nutritional surveys were conducted in 2002 and 2003, which provided a more detailed assessment of the areas of concern. The surveys highlighted the need for rapid interventions in the most seriously affected areas, such as East and West Hararghe, where migrants remain in camps and individual families in Bale zone.

9. The surveys indicated severe malnutrition among children in several areas of the country, including districts in Afar, Tigray and the SNNP region. In other areas that were severely affected in September 2002, the surveys reported some improvements, which may be attributed to accelerated relief distributions. Similar surveys also indicated the emergence of new areas of concern, particularly the Fik zone of Somali region where the global acute malnutrition rate reached an alarming 33.9 per cent in April.

10. In order to strengthen the capacity to handle the nutritional emergencies in the country, procurement of therapeutic food has been stepped up. Therapeutic feeding interventions by non-governmental organizations and government units working with United Nations support have recently expanded considerably to a total of 48 therapeutic feeding centres since the beginning of June. Training in the management of therapeutic and supplementary feeding for health professionals from drought-affected regions, non-governmental organizations, partner agencies and universities has also been initiated. Efforts are being made to update nutritional surveys periodically, but this is difficult owing to the wide geographic area to be covered.

11. Another response to the deteriorating nutrition levels in the country is the increase in general food rations from 12.5 kilograms (kg) to 15 kg per person per month in the SNNP and other regions for the worst affected *woredas*, that is, priority areas where the global acute malnutrition rate is equal to or greater than 15 per cent. That measure, while helpful, needs to be complemented by better targeting and provision of supplementary foods for the most severely affected. Its implementation should also be expanded to all entitled localities.

12. Food-aid targeting remains an important way of averting malnutrition in several areas. Many districts still face a problem with dilution of food rations owing to poor targeting and the sharing of supplementary food among all family members regardless of need, despite the provision of guidelines to the Government and non-governmental organizations. The World Food Programme (WFP) and the Disaster Prevention and Preparedness Commission (DPPC) have been discussing ways of improving the food aid delivery system and making deliveries more effective for the needy. The Commission has requested that the food-monitoring system in the SNNP region be strengthened by means of monitoring teams and training in food-aid targeting. The United Nations plans to strengthen its presence by deploying more qualified staff to support regional and *woreda* structures in the SNNP and other drought-affected regions.

13. The overall food aid pledge situation remains very good, with 89 per cent of the needs for the year (as assessed in November 2002) covered by 10 June 2003. However, a substantial tonnage (over 190,000 tons) remains to be resourced for requirements until the end of the year. As supplementary food needs have exceeded available stocks, it has been necessary to target the areas of greatest need. Those have included emerging critical areas where nutritional conditions are deteriorating.

14. It is hoped that recent rains will reduce the need for water tankering in some of the drought-affected areas. Sufficient rainfall would allow water and sanitation operations to be directed to longer-term solutions. In May, rains in the southern highlands of Ethiopia brought excess water to the main river in the Somali region, the Wabe Shebelle. Flooding was needed in the area for flood recession agriculture, but there was an immediate negative impact causing population displacement,

submersion of low-lying fields, increased health hazards and difficult access to those in need of humanitarian assistance.

15. For many farmers in southern Ethiopia, agricultural assistance for long-cycle crops arrived too late for them to benefit fully from the long rains. Even though some districts managed to use some of the money left over from the previous year's budget to purchase seeds, there was a general and acute lack of access to seeds in many districts in the Southern Nations, Nationalities and Peoples and other regions. Country-wide, only half of the listed beneficiary households had received seeds by the end of May 2003. Hence, the ongoing seed distributions were insufficient without additional and urgent seed assistance from donors. Furthermore, in some areas with a shortage of local seeds, seed varieties may have been partly inadequate in terms of adaptability since seeds were obtained from sources outside the user areas.

16. An unfortunate crisis projection is that both the ongoing voluntary resettlement programme and the largely insufficient seed distribution of partly inadequate seed varieties are likely to significantly disrupt the forthcoming agricultural seasons and, hence, national food production, despite predicted good rains both for the short *belg* and the long *meher* planting seasons.

17. The current rains in many parts of the country, combined with an already weakened population, are creating an environment conducive to the spread of infectious diseases, including water-borne diseases and malaria. Measles outbreaks have also been reported in the Somali region and the SNNP region. The inter-agency coordinating committee has finalized plans for measles and vitamin A campaigns in drought-affected areas, targeting some 16.2 million children under 15 years of age. The campaigns are scheduled to be completed in 2003 and early 2004.

18. United Nations staff have been deployed to the field within regional government structures to support their government counterparts and non-governmental organization partners in the effective implementation and monitoring of emergency programmes. Six regions with the most affected populations have been selected for special attention.

C. Economic situation

19. Ethiopia is one of the world's poorest countries, ranked by the United Nations Development Programme (UNDP) near the bottom of the human development index.[2] The country is subject to drastic weather patterns, with cyclical periods of drought and regular onsets of heavy rain. Certain areas and large population segments of Ethiopia are immediately affected by more severe poverty as soon as harvests are endangered by inadequate rainfall patterns. The country is also periodically subject to pest infestations and seasonal peaks of communicable diseases. The combination of natural factors with high population growth, limited land availability, poor land management practices, fractured road infrastructure and low industrial employment levels presents major impediments to development. The sombre reality of the inadequacies is reflected in key human development indicators, such as access to education, basic health care, sanitation and clean water.

20. Furthermore, the past border conflict with neighbouring Eritrea and lingering internal localized conflicts in different parts of the country are having an overall

negative effect on economic and development efforts. The net result is a perpetually high level of vulnerability characterized by high infant mortality and low life expectancy rates among a significant portion of the Ethiopian population.[3]

III. United Nations assistance in Ethiopia

21. The United Nations country team approach in Ethiopia permits joint humanitarian action that is coordinated and managed through the United Nations disaster management team, a committee comprising the heads of operational agencies and emergency staff and chaired by the United Nations Humanitarian Coordinator. The Office for the Coordination of Humanitarian Affairs-Ethiopia functions as the secretariat for the team, facilitates coordination among United Nations agencies, helps to prepare the joint emergency appeal and ensures follow-up to decisions or recommendations, including providing a linkage between the team and government, donor and non-governmental organization counterparts.

A. Food assistance

22. The World Food Programme is appealing for resources to cover the food needs of 4.6 million beneficiaries out of a total of over 12 million people in need of humanitarian assistance. As in previous years, WFP will cover part of the total relief requirements, with the remainder to be met by bilateral donations to the Government or to non-governmental organizations. WFP aims to cover 40 per cent of overall requirements for cereals and part of the needs for supplementary food for 2003. The Disaster Prevention and Preparedness Commission is the WFP implementing partner. Typically, beneficiaries receive food rations for between 5 and 10 months, averaging 7 months in total. The planning period covers the time until the next main harvest in November-December 2003 and makes provision for the expected needs in the first quarter of 2004.

23. Confirmed contributions in response to WFP needs for 2003 as of 5 June 2003 totalled 429,000 tons (368,000 tons cereals, 57,000 tons blended food and 4,000 tons vegetable oil). However, there are contributions under negotiation for a further 107,000 tons. When those are confirmed, 85 per cent of WFP emergency requirements will have been covered for the year. At the national level, pledges confirmed and unconfirmed to non-governmental organizations, WFP and the Government currently stand at 1.35 million tons towards total needs of 1.54 million tons, or 87 per cent. Requirements have recently been adjusted to reflect an increase in needs, supplying 79,122 tons to an additional 1.2 million beneficiaries. The ration in practice had been 12.5 kg of cereals and was only recently increased to 15 kg per person per month for the worst-affected areas. Supplementary monthly rations of 4.5 kg of protein-rich blended food and 0.75 kg of vegetable oil are targeted rations to children under five, pregnant women and nursing mothers. Blended food availability has met only about half the requirements for the first five months of the year. However, the availability will be greater for the second half of the year, and most people targeted for supplementary food can be reached from July onwards. Altogether, almost 70 per cent of the supplementary food aid needs are covered for 2003. However, local production capacity cannot keep up with current demands by the World Food Programme, non-governmental organizations and the Government

for local procurement of blended food at the present time. Most of the blended food is being procured out-of-country, much of it in the form of in-kind contributions.

24. Certain areas of the country become inaccessible between July and September at the height of the main rainy season. Thus, there is the need to pre-position relief food for certain districts during May and June for the requirements between July and September. Around 70,000 tons of food are needed for that effort.

25. An encouraging shipping performance has been reported, with WFP and other relief agencies being able to offload and transport 114,000 tons of relief food from Djibouti port into Ethiopia in January; 74,000 tons in February; 117,000 tons in March; 157,000 tons in April; and an expected 183,000 tons in May.

B. Health and nutrition

26. Health conditions in drought-affected areas of Ethiopia are very serious, compounded by an anticipated seasonal and unpredictable increase in malnutrition. Therapeutic feeding and follow-up supplementary feeding will play a key role in controlling the situation. About 60,000 to 80,000 children are estimated to be severely malnourished in the country, over 2 per cent of the 3 million children under the age of five in drought-affected areas. One metric ton of therapeutic food helps around 80 children to recuperate. Therefore, 750 tons of therapeutic food are required without considering relapses. Relapse rates are expected to be high if there is no targeted supplementary feeding programme to which the child may be referred upon discharge. Therapeutic feeding interventions by non-governmental organizations and the Government, with the support of the United Nations Children's Fund (UNICEF), have expanded considerably in the last few weeks to face the increasing load of malnourished children in several regions. A total of 26 therapeutic feeding centres were operational by the end of May, and 22 more opened in June with support from UNICEF. The centres are located in the Somali, SNNP, Oromiya, Afar, Amhara and Harar regions. Five additional centres were opened by non-governmental organizations. Complementing the therapeutic food procured in 2002, UNICEF procured 70.25 tons of F-75 milk, 473 tons of F-100 milk, 156.5 tons of BP-100 biscuits, 53 tons of high-energy food ("plumpy nut") and 61,490 bags of Resomal, a rehydration solution.

27. Despite the generous donor response, relief food distributions have not been able to maintain a satisfactory nutritional level. The reasons include the following: (a) below-standard food rations of 12.5 kg instead of 15 kg per person per month; (b) poor quality of rations (often cereals only, with no or little complementary food such as pulses and oil); (c) problems with targeting priority areas and beneficiaries; (d) logistic difficulties (many areas cannot be easily reached, and rains make it even more difficult); (e) traditional food sharing (in many communities, available food is shared among all in the clan, thus diluting the impact of food aid upon the actual needy members); (f) delayed shipment; (g) borrowing from other sources; (h) difficulties in compiling correct beneficiary lists; (i) inefficiency in the distribution chain; and (j) only 50 per cent of supplementary food requirements met. Plans are to increase United Nations and non-governmental organization staff, in the SNNP region in particular, to enhance response, reporting and monitoring.

28. Besides malnutrition, measles is one of the major current threats to the population in Ethiopia, mostly to children, and its spread is exacerbated by drought

conditions. The goal of the global measles campaign for 2003, implemented by the Ministry of Health with various partners, including the United Nations Children's Fund and the World Health Organization (WHO), is to reduce measles cases and measles deaths by 90 per cent as compared with 2002. Plans are to vaccinate at least 90 per cent of children between the ages of 6 months and 14 years in 2003 and 2004, and to provide vitamin A supplements during measles immunization. The target population in 2003 is around 17.4 million children, in addition to the 2.3 million children targeted in December 2002 in Afar and in East and West Hararghe. The first measles and vitamin A campaign in 2003, co-sponsored by UNICEF and WHO, began in March in the Bale zone of Oromiya region, in the Shinille zone of the Somali region, and in the Gurage and Silti zones in the SNNP region, targeting 1.9 million children. The second round in June targeted 5.4 million children in North and South Wollo, Wag Hamra, Arsi, Wolayta, Sidama and Fik zones. It was to be followed by a third round in July covering Hadiya, Jijiga and Gode zones, targeting an additional 913,508 children. A final campaign will cover 9.2 million more children.

29. Malaria affects 4 to 5 million people annually in Ethiopia and is prevalent in 75 per cent of the country, putting over 40 million people at risk. It represents the largest single cause of morbidity. Southern Ethiopia is particularly prone to malaria epidemics. As the rains are now ongoing in the southern parts of the country, physically weak and malnourished people are at high risk for malaria. For example, in Omo Shelenko *woreda* and Kambata zone of the SNNP region, following a malaria outbreak in April, 33 people died as a result of such factors as physical weakness from food shortages and unavailability of malaria drugs and other protection. So far, the malaria programme has distributed funds to the zones for social mobilization and is producing information, education and communication materials. In the past, some 22,000 mosquito nets were sent to the SNNP region, of which 14,000 were distributed to the target *woredas*, while 8,000 are still in the Regional Health Bureau stores. In addition to the initial emergency supply of 253,000 treated mosquito nets, UNICEF has started to procure a new stock of 68,000 insecticide-treated nets and malaria kits for malaria-prone *woredas*, with more to arrive once the 2003-2004 plans of action are finalized.

30. In response to the drought situation in Ethiopia, WHO provided 160 emergency health kits to the Ministry of Health. Early in 2003, UNICEF provided about 150 emergency health kits to various regions, and 647 more kits are being procured. The provided kits benefit a population of 560,000 people for over three months. Increased monitoring and supervision activities will ensure that relief supplies are distributed to the areas and people most in need. In addition, WHO will assist in the water sector, particularly with regard to water quality.

C. HIV/AIDS prevention

31. One of the major lessons learned about the human immunodeficiency virus/acquired immunodeficiency syndrome (HIV/AIDS) pandemic is that it spreads fastest in conditions of social instability, conflict, poverty and powerlessness, conditions that generally prevail among populations in a critical emergency situation. In drought situations, populations can become mobile or displaced and are at a higher risk of encountering HIV/AIDS, and they also fuel the problem in host communities.

32. UNICEF is working to ensure that HIV/AIDS education is provided as part of its overall emergency response to the drought. UNICEF is planning to deploy two consultants in the drought-affected areas, in addition to one who is already in the Somali region.

33. With UNICEF support, Save the Children (UK) is working in five drought-affected *woredas* in Oromiya, Amhara and Somali regions to integrate HIV/AIDS awareness with other emergency activities. To date, outreach awareness-raising activities, such as dramatic presentations, have been carried out in three Save the Children (UK) food distribution sites in South Wollo. Training in HIV/AIDS prevention was conducted for food ration providers and anti-AIDS clubs in Shinille and Jijiga zones, Somali region. In collaboration with the Ethiopian Evangelical Church, UNICEF will offer training in HIV/AIDS education for staff of the Ethiopian Evangelical Church Mekane Yesus working in Bale camps for internally displaced persons and to personnel at the nearby health centre.

D. Water and sanitation

34. Ethiopia is among the least developed countries in the world with regard to water and sanitation coverage, with 28 per cent coverage for water and 17 per cent for sanitation countrywide. Taking into consideration that an estimated 30 to 60 per cent of the existing water schemes are not functional at times owing to over-use and lack of adequate maintenance, actual coverage is even lower.

35. In the context of the current drought crisis, UNICEF, in cooperation with the Ministry of Water Resources and Regional Water Bureaux, recently conducted an emergency water supply needs survey in the six regions most affected by the drought. The number of people in need of emergency water supplies has been revised upward from the originally estimated 2.7 million to 4.2 million. Of those, 381,942 were earmarked for emergency water tankering, including 120,979 (32 per cent) who were served by UNICEF-funded tankering from January to May. If rains continue in sufficient quantities, the need for water tankering should gradually decrease, releasing more resources for longer-term solutions. However, internally displaced persons and newly resettled populations will need tankering support, as well as many of the recently opened therapeutic feeding centres in various locations.

36. Between January and mid-May, UNICEF and its local partners completed the rehabilitation of 466 existing water schemes, most of them in Oromiya, Amhara and Tigray regions, benefiting 948,700 people. UNICEF drilled a total of 223 new wells benefiting 292,240 people who did not previously have any clean water: 15 new wells in Afar region, 4 in Somali, 56 in Oromiya, 64 in SNNP, 43 in Amhara and 41 in Tigray.

37. UNICEF emergency water supply activities have so far reached 1.3 million people, or 32 per cent of the 4.2 million currently in critical need. This is a positive step towards the 2003 UNICEF target to increase national water coverage. The water interventions are also having an impact on health status by reducing water-borne diseases and improving hygiene. Increasing national sanitation coverage, with an emphasis on community and school latrines, is another challenge, together with the training of village water and sanitation committees.

38. UNICEF, in partnership with non-governmental organizations and *woreda* authorities, is closely monitoring the water and sanitation needs of the recently resettled people in Oromiya region, as well as those of the people affected by recent floods in the Gode zone of the Somali region.

39. Following consultations between the Government at both federal and regional levels, it was agreed that the size and complex nature of the humanitarian crisis called for enhanced UNICEF support to regional counterparts. Hence, UNICEF has deployed staff within regional government structures to support both government counterparts and non-governmental organization partners. The UNICEF staff deployments are within existing government infrastructures, are temporary and are intended to guide and strengthen capacity to implement, manage and monitor emergency interventions supported by UNICEF. UNICEF deployed seconded staff to Somali, Oromiya, Tigray, Afar, Amhara and SNNP regions.

E. Agriculture and livestock

40. While the *belg* cropping season plays an essential role in early recovery for farmers, the *meher* is the main cropping season for the majority of the country. The Ministry of Agriculture, the Food and Agriculture Organization of the United Nations (FAO) and various non-governmental organizations and international organizations have ongoing seed distribution interventions in various parts of the country. For some farmers, however, agricultural assistance will come too late to benefit from the *belg* season. As time is running out for those farmers, quick action is critical to ensure access to *meher* crop seeds that need to be planted within the coming months. Moreover, the actual agricultural output of the year's *belg* season will not be known until assessments are carried out in November-December 2003, which will serve as a basis for planning the requirements for humanitarian intervention in 2004.

41. A concentration of seed assistance can be observed in East and West Hararghe (Oromiya), and Sidama (SNNP), which are among the areas most affected by the drought. Apart from those areas and Shinille zone in the Somali region, a serious shortfall in seed interventions remains. Major requirements and major shortfalls in terms of seeds can be found in the Tigray region (requirement 5.1 million United States dollars [$]; shortfall $3.7 million) and the Amhara region (requirement $4.4 million; shortfall $3.3 million).

42. With some exceptions, most farmers in the drought-stricken areas are having serious difficulties in meeting planting requirements for a reasonable harvest.

43. FAO distributes cereal seeds as well as vegetable seeds to households headed by women and other vulnerable groups. Total FAO seed contribution for all four major seed-deficient regions (Tigray, Amhara, Oromiya and SNNP) is 6,012.7 tons of cereals and pulses (about 21 per cent of the total of approximately 27,784.1 metric tons needed in the country) in five projects targeting a total of 262,245 households. In the SNNP region, selected farmers will receive 30 million sweet potato cuttings, in addition to the 2.5 million already distributed in Oromiya region by FAO. Other farmers will receive 1,800 kg of vegetable seeds from FAO emergency assistance, in the Tigray (9,750 households) and Oromiya (3,431 households) regions. In addition, FAO, in collaboration with Catholic Relief Services of Ethiopia, organized two "seed voucher fairs" in Kalu district, South

Wollo, in April. Some 500 pre-selected beneficiaries and suppliers of seeds came together in a market event. Beneficiaries were given coupons that they could trade for local seeds of their own preference. The fair was a pilot project. If the project is successful, FAO will apply the same approach on a larger scale. In addition, many non-governmental organizations are distributing seeds in the drought-affected areas.

44. Concerns have recently been raised about the distribution of hybrid maize seeds to farmers without the necessary fertilizer and agricultural package for best yield results. Some non-governmental organizations would like to distribute chemical fertilizers along with improved hybrids of maize, but the government policy against free use of improved farm inputs, particularly fertilizers, is preventing them from doing so. Planting maize hybrids without the proper fertilizer application will give poor yield results and, hence, a considerable production loss, even if weather conditions are favourable.

45. Owing to the drought, the natural resistance of animals has decreased. The onset of the rains usually increases the infection pressure, causing possible outbreaks of diseases and parasites. The diseases have devastating effects on the animal population and, hence, on pastoralist food security. To support the effort of the Government in minimizing loss of livestock due to diseases, FAO purchased vaccines and drugs and distributed them to drought-affected regions, including areas within the Afar, Shinille and Oromiya regions.

46. Emergency interventions in most cases focus on food aid. While helping to save the lives of pastoralists, their livelihoods are equally unprotected. Pastoralist livelihoods are based on livestock resources and when those resources are depleted due to drought, pastoralists become destitute and struggle to recover. Moreover, the food consumed by pastoralists' children is mainly composed of milk. Therefore, pastoralists and agropastoralists prefer to receive assistance that improves the milk production of their animals rather than receiving relief food. FAO, through the livestock working group, has improved the awareness of donors on that issue. As a result, unlike previous drought years, more funding has been made available for FAO to implement emergency livestock feeding in the Afar and Oromiya regions.

47. The emergency unit of FAO has organized a series of monthly working group meetings and workshops in Ethiopia to exchange information and to identify activities and gaps for an action plan. The livestock emergency unit also supported non-governmental organizations and the Ministry of Agriculture in the preparation of contingency plans and emergency project proposals.

F. Emergency education

48. The drought has had a negative effect on the ability of some families to keep their children in school. The Ministry of Education, UNICEF and their partners are targeting 200,000 pupils whose educational opportunities are critically limited. UNICEF has completed a rapid assessment of the educational and psychosocial needs of children in drought-affected areas. The preliminary findings confirm that many children are dropping out of school or not attending school regularly. Girls in particular are kept home to take care of domestic chores, as parents have to tend cattle. UNICEF and WFP will work together to expand and strengthen the school-feeding programme. In the Afar region, a UNICEF/WFP/WHO consortium is

cooperating to improve water supply, environment, sanitation, nutrition and learning opportunities in schools. The experience will then be replicated in other regions.

G. Gender and child protection

49. Drought and displacement have undermined traditional family and community cohesion. Traditional capacities and patterns of protection and care have been disrupted or destroyed, placing women and children at heightened risk of physical and psychological trauma and exploitation. Documented instances of sexual exploitation of women and children (including street children) and child labour among internally displaced persons have been noted. Wherever possible, support is being provided to facilitate delivery of essential services directly to affected communities to pre-empt displacement. In March, a workshop, supported by the United Nations, on the prevention of sexual exploitation in a humanitarian crisis was held in Addis Ababa. UNICEF also held a train-the-trainers workshop on the same topic for both Government and non-governmental organization participants from 26 to 30 May, also in Addis Ababa. It is anticipated that the training will be expanded into the affected regions and will include officials involved in food and emergency supply distribution as well as representatives from affected communities, particularly women and children. A train-the-trainers workshop was also conducted in early May on psychosocial assessment skills and interventions in Tigray, targeted at refugee communities that are still struggling to reintegrate.

H. Internally displaced people and resettlement programmes

50. The Government has been formulating its resettlement policy for over three years, as evidenced in the rural development strategy, the food security strategy and its regional programmes released in 2002. Although resettlement is seen as a technical solution to chronic food insecurity in overpopulated areas, experience so far has been overwhelmingly negative, both in social and economic terms. Resettlement areas have never become surplus producing areas and, in many cases, settlers have remained food-aid dependent. A number of social and political problems have resulted from resettlement, including competition for resources between settlers and the local population, leading to outright resource conflicts and violence. Resettlement does not provide a sustainable solution to overpopulated areas, given the imbalance between limited resettlement numbers and the continuing high population growth, in both resettlement sites and in areas from which people have been resettled. The international community and United Nations agencies have had some involvement in dialogue on resettlement. The Office for the Coordination of Humanitarian Affairs-Ethiopia supported a number of assessment studies on areas with resettlement potential in different regions, and UNICEF made limited funds available to assist migrants at their new settlement sites, as for example in Bale zone. The Government is in the process of translating its long-term strategic goal of resettlement into a short-term resettlement policy in all regions simultaneously, to provide better food security.

51. The United Nations is gathering as much information as possible on ongoing resettlement programmes in Ethiopia and their problems and constraints to enable United Nations agencies to formulate appropriate humanitarian interventions. The Office of the Deputy Prime Minister recently invited the donor community and

United Nations representatives on a one-week mission to visit selected out-migration and resettlement sites across Ethiopia. It became clear that the Government of Ethiopia would need assistance for its resettlement programmes, as significant bottlenecks have developed in all regions where programmes have been initiated to provide relief supplies and basic infrastructure at settlement sites.

I. Humanitarian implications of the border demarcation process

52. Article 4 (16) of the December 2000 Algiers Agreement (A/55/686-S/2000/1183, annex) requested the United Nations to facilitate resolution of problems which may arise due to the transfer of territorial control, including the consequences for individuals residing in previously disputed territory. The two United Nations country teams from Ethiopia and Eritrea met for the sixth time in mid-May 2003 to discuss the humanitarian and legal implications of the demarcation process. Following the transfer of territory, returning villagers from the border areas will face important decisions relating to nationality and/or relocation. Factors that might influence their decisions include the nature of the assistance that they would receive; family connections on either side of the border; and property and asset considerations that would apply to those who move. The role of the two Governments and the United Nations country teams would ultimately be the coordination and provision of humanitarian assistance, while the United Nations Mission in Ethiopia and Eritrea would assist in ensuring a smooth transition from one administration to another. The UNHCR mandate on statelessness outlines some of that Office's specific roles, including providing information to raise awareness of the problem, offering solutions and training staff and government officials. Potential legal problems arising from the border demarcation between Ethiopia and Eritrea include issues of nationality, residence, real estate, livestock and personal property. The two country teams have drawn up a new action plan, which will be implemented by the two country teams and UNMEE.

53. The total number of internally displaced persons on both sides of the border has been confirmed at 130,000. However, non-internally displaced figures for those living in the border areas still need to be assessed in order for planning to take place. A humanitarian task force on the issue will calculate requirements based on the provision of a set of standard services.

J. Emergency coordination

54. At the ministerial level, the National Disaster Prevention and Preparedness Committee is the highest coordination body and meets to strategize on emergency response. National-level emergency coordination task forces have been established in the ministries of water resources, health, and agriculture. The Disaster Prevention and Preparedness Commission maintains its role as the lead Government body in the coordination of food assistance. Non-governmental organizations and United Nations agencies were invited to join the task forces, with the chairs of those task forces reporting weekly to the Chairman of the crisis management committee, the Deputy Commissioner of the Disaster Prevention and Preparedness Commission, who, in turn, reports to the National Disaster Prevention and Preparedness Committee. Similar crisis management committees were established at the regional level, and a technical information management exchange forum was created by the

DPPC, in which sector task forces and humanitarian response partners exchange information and identify future paths of action.

55. Through the DPPC as the focal point for the coordination of emergency response, non-governmental organizations and United Nations partners identified areas in which they can enhance their respective organizational coordination and participate more effectively and harmoniously in the government coordination mechanism. The Christian Relief and Development Association provides a forum for non-governmental organizations, while the United Nations utilizes its disaster management team, emergency officers' meetings, the Office for the Coordination of Humanitarian Affairs (Emergencies Unit), and the World Food Programme logistics and procurement coordination meeting as forums for coordination.

56. In addition, the DPPC has established an information centre, with the support of WFP and the Office for the Coordination of Humanitarian Affairs-Ethiopia, and maintains dialogue with the wider humanitarian community through regular assessments of the main and minor harvest seasons and of pastoral areas. The editorial committee, comprising the DPPC, donor and United Nations representatives, serves as a sounding board for the views of the wider humanitarian community and as the forum in which funding appeals are drafted.

K. Humanitarian assistance provided

57. Support of interventions for some 12.5 million people early in 2003 was possible owing to a timely donor response to the drought. Early food aid pledges, in combination with the Emergency Food Security Reserve of Ethiopia, allowed food aid to be pre-positioned in a timely manner. The donor community also responded favourably to non-food needs. Factors that supported their timely responses included an efficient and credible government early warning system; the active involvement of donors in the assessment process from the very beginning of the drought crisis; and early advocacy by the Government, United Nations agencies, non-governmental organizations, donor representatives and the media. A reassessment was scheduled to take place in June to update overall requirements of food and non-food needs.

L. Acute versus chronic beneficiary targeting

58. In spite of high levels of emergency assistance, the number of people defined as chronically food insecure is estimated to be approximately 6.2 million owing to an inadequate proportion of development assistance to Ethiopia over the last decade. Without appropriate interventions, Ethiopia's chronically food-insecure population is likely to increase, as the annual population growth of 2.7 per cent exceeds the average annual 2.4 per cent increase in agricultural production. Furthermore, the national figures do not reflect the fact that agricultural growth is taking place mainly in surplus production areas and not in food deficit regions. Decades of relief interventions through emergency aid have saved lives but have not been able to address the underlying causes of food insecurity. The general nutritional and economic status of the majority of vulnerable people has not improved. The needs of the chronically food-insecure population would ideally be addressed under a development umbrella rather than through emergency aid, as is the case at present. A development approach would require separating chronic and acute food

insecurity. In the long run, such a distinction is vital in order to systematically programme food aid within a development framework. As critical links between emergency humanitarian issues and chronic structural conditions are recognized, more appropriate multi-year programming and financing of aid should actively be promoted.

IV. Conclusion

59. The clearest indicator of the severity of the present crisis is the alarming rate of global acute malnutrition and severe acute malnutrition. Immediate and substantial action is needed to prevent the further deterioration and deaths of many people who are already in critical condition. Special emphasis needs to be placed on water activities owing to the increase in the number of people currently in need of emergency water assistance, which rose from 2.7 to 4.2 million. Conducting vaccination campaigns and improving nutritional capacity to meet emerging needs are also priorities.

60. The outlook for 2004 is difficult to anticipate before the *belg* assessment in November-December, but it is expected that relief needs will continue to grow. Furthermore, a robust rehabilitation strategy for pastoral and agricultural areas and a greater focus on resettlement and policy issues affecting development will be critical in alleviating the impact of future droughts.

Notes

[1] *Emergency Assistance Requirements and Implementation Options for 2003: A Joint Government-UN Appeal* (Addis Ababa, 2002).

[2] Ethiopia was ranked 171 out of 174 countries.

[3] Infant mortality is 110 per 1,000 live births; life expectancy at birth is 43.3 years (1995-2000). See United Nations Development Programme, *Human Development Report, 2000* (New York, Oxford University Press, 2000).

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Strengthening of the coordination of humanitarian and disaster relief assistance of the United Nations, including special economic assistance: special economic assistance to individual countries or regions

Humanitarian assistance to the Sudan

Report of the Secretary-General**

Summary

The present report describes humanitarian developments in the Sudan during the period from 15 July 2001 to 22 May 2003, as well as the geo-political changes that triggered those developments and the humanitarian challenges that remain.

Following years of impasse on issues of security and humanitarian access, there was an overall improvement in the programming and delivery of humanitarian assistance during the period under review. The peace talks begun on 17 June 2002 between the Government of the Sudan and the Sudan People's Liberation Movement (SPLM) resulted in agreements to cease hostilities and to uphold the principle of unimpeded humanitarian access, allowing United Nations bodies and non-governmental organizations to reach an additional one million people in need. Significant progress was also made in cross-line operations and the use of less costly modes of transport, including road and barge deliveries to communities that had not been reached in over three years.

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Increased prospects for peace enabled donor Governments and the United Nations to work more effectively with national counterparts in planning the implementation of a peace agreement. The international community signalled its intent to assist the Sudan's post-conflict recovery and development in several meetings of the Donor Working Group. This reinforced the reconciliation process, enabling the Government of the Sudan and the SPLM to resume talks and to agree in May 2003 on the creation of a joint planning mechanism that included modalities for planning humanitarian and quick-start peace support programmes.

More than two decades of turmoil have nevertheless taken their toll. The Sudan has the unenviable distinction of being the country with the largest population of internally displaced persons in the world, estimated at more than 3.5 million. Thousands have had their livelihoods severely disrupted by the long-running civil war, which continues to force many to flee. Household coping mechanisms have been eroded, resulting in widespread food insecurity and high rates of malnutrition. The presence of militia, landmines and unexploded ordnance have severed access to markets and basic health services.

A key challenge is the urgent need for increased donor support to save lives and reduce human suffering. Provision of humanitarian aid and basic services must be expanded rapidly to reduce socio-economic vulnerabilities, to keep access routes open, to clear landmines and to facilitate the reintegration of internally displaced persons, ex-combatants and refugees. Significant and simultaneous support is required to build individual and institutional capacity, to reactivate the economy, to restore livelihoods and to effectively reduce the vulnerability of the Sudanese people.

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I. Introduction

1. The present report is submitted pursuant to General Assembly resolution 56/112 of 14 December 2001, by which the Assembly requested the Secretary-General to mobilize and coordinate resources and support for Operation Lifeline Sudan, and to report to the Assembly at its fifty-eighth session on the emergency situation in the affected areas and on the recovery, rehabilitation and development of the Sudan. The report covers developments during the period from 15 July 2001 to 22 May 2003 and also includes a description of assistance foreseen.

II. Major humanitarian developments in the Sudan

2. During the reporting period, there were positive changes in the operational environment in which humanitarian aid is provided in the Sudan. Nevertheless, the need for such assistance remained as great as in previous years. Armed conflict and ethnic violence continued to destroy infrastructure, isolate populations, erode coping mechanisms and limit access to markets and also resulted in significant human rights violations. Natural calamities further diverted and drained vital government resources and caused additional large-scale displacement.

A. Magnitude of the crisis

3. Rebuilding the Sudan will present formidable challenges. The war has resulted in 2 million deaths. Some 4 million people have been displaced — the largest population of internally displaced persons in the world — and 500,000 Sudanese refugees are in the Central African Republic, the Democratic Republic of the Congo, Eritrea, Ethiopia, Kenya and Uganda.

4. Work by the United Nations and Member States to increase access and restore livelihoods is bearing fruit, but efforts must be increased to facilitate an end to the war and to reduce the dependency and vulnerability that have plagued four generations of Sudanese. Since 27 September 2001, when the Secretary-General submitted his first report on humanitarian assistance to the Sudan (A/56/412), several geo-political events have occurred that have improved the delivery of humanitarian assistance. Those events underscore the importance of applying incentives and confidence-building measures to complement humanitarian strategies.

B. Geo-political context and change

5. Initial peace talks between the Government of the Sudan and the Sudan People's Liberation Movement/Army (SPLM/A) failed in June 2001. In late September 2001 the Security Council lifted the sanctions that had been imposed on the Sudan for non-compliance with extradition warrants.

6. Bilateral cooperation on anti-terrorism improved relations with other Member States and humanitarian assistance by the United States of America to northern Sudan was restored September 2001 in the wake of the Sudan's worst flood disaster in 20 years. In October 2001, the United States appointed Senator John Danforth as

its Special Envoy and his four-point programme resulted in January 2002 in an agreement between the Government of the Sudan and the SPLM/A on a six-month renewable ceasefire in the central Nuba Mountains and the deployment of the Joint Monitoring Mission. In March 2002, the parties agreed to not attack or target civilians.

7. The use of arms against civilian targets and aid distribution sites exacerbated the deplorable humanitarian situation. It also escalated the conflict and prompted several member States of the Partners' Forum of the Inter-Governmental Authority on Development (IGAD) to provide financial and diplomatic support in bolstering IGAD peace initiatives.

8. Both aligned and non-aligned militia made their presence felt. Access to Unity State was abruptly curtailed, culminating in complete flight ban over the area in April 2002 and leading to travel restrictions and other impediments being eventually imposed on humanitarian access in all contested areas in May 2002.

9. Perseverance of the regional IGAD body and of individual member States led to a framework agreement between the Government and the SPLM on 20 July 2002 in Machakos, Kenya. The framework agreement provided for a cessation of hostilities in all disputed areas and outlined the objectives of a peace settlement, the process and time frame for implementing a comprehensive ceasefire and the institutions and monitoring mechanisms required.

10. The visit of the Secretary-General to Khartoum in July 2002 brought improvement in humanitarian access, but flight bans were again imposed in August-October 2002 as military activity intensified in Eastern Equatoria (Torit) and led to a suspension of the peace talks in early September 2002. Acts of violence against civilians and humanitarian personnel continued unabated and with impunity.

11. Resumption of the third round of peace talks in October 2002 was accompanied by the appearance of new insurgent groups, including the Sudanese Liberation Movement and the Darfur Liberation Front. New fronts were opened and in October 2002 the conflict widened to Kassala and Darfur States.

C. Influence on humanitarian assistance

12. The Secretary-General's Special Envoy for Humanitarian Affairs for the Sudan intervened on several occasions to impress upon both parties the need for unimpeded access to affected populations. Those United Nations-brokered talks were successful in bringing a temporary reprieve and gave the parties an opportunity to find common ground on sensitive issues.

13. Parallel initiatives to improve access included démarches by representatives of Member States and the adoption by the US Government on 7 October 2002 of the Sudan Peace Act, which imposed sanctions and other inducements to expand humanitarian access and ensure a commitment to the peace process. The Act provided impetus for a 15 October 2002 memorandum of understanding on resumption of peace negotiations, in which the Government of the Sudan and the SPLM agreed to extend the cessation of hostilities and to facilitate humanitarian access.

14. The Office for the Coordination of Humanitarian Affairs facilitated a tripartite technical meeting on 25 and 26 October 2002, in which parties agreed on how to implement the provisions of the 15 October memorandum of understanding concerning access, including a monthly notification system for humanitarian flights to alleviate cumbersome flight request procedures. Access was to be subject to United Nations security assessments and clearances in accordance with United Nations security rules and regulations. Since October 2002, the agreement has twice been extended and no bans have been imposed on humanitarian flights.

15. The memorandum of understanding expanded access to an additional one million affected persons, but only through good faith and a reiteration of universal principles to which all parties had previously agreed in the Security Protocol and Minimal Operational Standards for Rail Corridors and Cross-line Road Corridors of 18 November 1998 and the Beneficiary Protocol of 15 December 1999.

16. Further progress on humanitarian access was made under the auspices of the Technical Committee on Humanitarian Assistance at its 5th meeting, in January 2003, which was chaired by the Secretary-General's Special Envoy for Humanitarian Affairs for the Sudan. In a final communiqué, the Government of the Sudan and the SPLM reaffirmed their commitment to the fundamental right of access to populations in need in accordance with the Beneficiary Protocol and with the 26 October 2002 agreement. The parties also agreed to the establishment of a Tripartite Committee on Access and Cross-line Corridors, which held its first meeting in Nairobi on 26 April 2003.

17. Under bilateral agreements with the United Nations, the Government of the Sudan and the SPLM also agreed separately to permit expansion of humanitarian assistance to areas outside those traditionally covered by Operation Lifeline Sudan, specifically Blue Nile and Kassala States. That such agreements could be reached represented a major breakthrough. The status of the three marginalized areas of Abyei Province, the Nuba Mountains and southern Blue Nile State and their inclusion in the ongoing IGAD process remained contentious issues in subsequent and formal talks between the Government of the Sudan and the SPLM in March 2003.

18. Flight denials provided a means to test those mechanisms and the resolve of the United Nations and its Member States. Technical Committee Humanitarian Assistance forums were able to address the consequences but not the cause of the conflict. They provided no legal basis for or practical means of sustaining access in the event that the peace talks failed. It was also apparent that, unless benchmarks and deadlines were established, temporary gains would be lost and shifting lines of conflict would render humanitarian "space" the subject of constant renegotiation.

19. Guided by those concerns, the incoming United Nations Resident and Humanitarian Coordinator and Chairperson of the Tripartite Committee on Access and Cross-line Corridors formed two working groups aimed at transforming previous commitments into tangible results, one for cross-line corridors and the other for humanitarian cooperation. The two groups met for the first time in Nairobi on 7 May 2003 and agreed to commence humanitarian operations along two key cross-line road routes and by river barge from Malakal to Juba. The same Government of the Sudan/SPLM/United Nations working groups will meet monthly to monitor progress and to agree on further solutions, including the opening of other road routes and possibly the Babanusa-Wau rail corridor.

20. At the time of reporting, significant progress was being made in cross-line surface transportation of food commodities by both river and land. The World Food Programme (WFP) had commenced road delivery of food aid commodities between Kadugli in the Nuba Mountains to Karkar and the surrounding villages, resulting in cost savings of $250 per ton.

21. Barge operations on the White Nile between Malakal and Juba also began, with the aim of supplying emergency food to 300,000 newly accessible persons. A second operation along the Sobat corridor was also under way by both road and barge. A total of 90,000 beneficiaries were expected to receive 1,600 tons of assorted food commodities.

22. International financial and diplomatic support to the talks, combined with guarantees from Member States and the United Nations of support for post-conflict recovery, played a crucial role in encouraging the parties to resume the peace process, efforts that paved the way for improved delivery of humanitarian aid. The Humanitarian Aid Commission and the Sudan Relief and Recovery Agency, the respective aid arms of the Government of the Sudan and the SPLM, agreed to facilitate humanitarian operations in the early months of 2003. At the same time, the United Nations and its Member States reaffirmed their commitment to post-conflict priorities at the Sudan coordination meeting held in the Netherlands in early April 2003 and again at a technical-level meeting in Nairobi in May.

23. Convened under the auspices of the IGAD Partners' Forum, and facilitated by the United States Government, the meeting in Nairobi on 9 and 10 May 2003 culminated in the Sudanese parties' agreement to create a joint planning mechanism that defined principles and modalities for planning humanitarian and quick-start peace support programmes over a six-month pre-interim period. The joint planning mechanism is to be composed of representatives from the parties and technical experts from the United Nations and other sources as required.

D. Access and security

24. At the time of reporting and despite the cessation of hostilities agreement, fighting persisted in Unity, Kassala and Darfur States. Insecurity increased the number of displaced and vulnerable, while at the same time reducing the volume of assistance that could be safely delivered under United Nations security regulations. In the southern conflict areas, some 23 locations were categorized as "unsafe and off-limits".

25. The presence of militias in Upper Nile (Kiech Kuon and Mading), Kassala, Darfur and the Sobat corridor constituted a serious impediment to access. At the time of reporting, WFP had been forced to cancel an assessment of the road route from Malakal to Nasir and beyond to Jikau owing to insecurity created by the presence of the militias.

26. Road operations, in particular cross-line operations, remained hampered by the presence of landmines and conditions were yet to be established that would allow internally displaced persons, refugees and ex-combatants to return voluntarily to their homes.

27. From May 2003, some humanitarian workers holding Sudanese visas were not permitted to enter areas in the south. Staff members of non-governmental

organizations in the southern sector were required to hold work permits. The issuance of travel permits and visas took from three days to three months, complicating inter-agency planning. Some staff of non-governmental organizations continued to receive travel permits for one month only, which disrupted the implementation of development projects. Multiple re-entry visas were seldom issued to international staff of non-governmental organizations residing in Khartoum.

28. Satellite phones were still not permitted in the southern sector because of their global positioning system (GPS) facility. In the north, restrictions imposed by the authorities on radio and electronic mail (e-mail) communications placed humanitarian workers and others at risk. Apart from being contrary to the trilateral agreements, the inability of humanitarian staff to access radio equipment during non-working hours degraded safety measures as provided for in the Security Protocol of 1998.

29. There remained restrictions on humanitarian staff and cargo entering the southern sector by air from outside the Sudan except from Lokichoggio, Kenya. Those wishing to enter the country from Uganda to Equatoria were obliged, if road access became impractical, to travel via Nairobi and Lokichoggio, increasing travel costs threefold.

30. Highly versatile and essential Buffalo DHC-5 aircraft were being permitted to fly out of Lokichoggio on the understanding that they landed for inspection in Juba, Malakal or El Obeid. This requirement was adding significantly to the time and costs of operations.

31. At the time of reporting, all non-food cargo flights to contested areas in southern Blue Nile State were obliged to transit Malakal (or El Obeid). Furthermore, authorities required that all such flights should originate in the northern sector. This stipulation risked operations being delayed in the event of fuel shortages in El Obeid, which had already occurred.

32. Some impediments to the movement of staff and relief supplies could be attributed to cumbersome administrative procedures. Most were rooted in the question of sovereignty and the perceived need to maintain mechanisms of control. These became the subject of further negotiation, as provided for under the Declaration of Principles of 1994 and the Machokos Protocol of July 2002.

33. The above-described restrictions represented a breach of existing protocols. They were financially costly and reduced operational efficiency. Any peace agreement would need to include guarantees of free access to all affected populations for the purposes of assessing and meeting humanitarian needs. Such guarantees would require provisions for monitoring adherence to regulations governing travel and cargo inspection and for capacity-building to streamline administrative processes.

III. Humanitarian operations by the United Nations and its partners

A. Overall progress and impact

34. During the reporting period, agencies were able to maintain a safety net and to sustain life, primarily in areas where access had been granted on a regular basis. Of the 2 million deaths attributed to the war in the Sudan, a great number were caused by disruption or lack of basic services. Agencies were able to meet some requirements by using carry-over funds and tapping resources available for other operations, but only at the expense of those operations.

35. Shortfalls and delayed funding in the agricultural sector prevented the timely distribution of seeds and tools before the planting season, thus setting the stage for perennial food insecurity and dependence upon food aid.

36. Nearly all socio-economic indicators have remained at alarming levels, in particular global malnutrition rates. At the time of reporting, the volume of assistance being delivered was increasing. Improved access enabled over one million additional persons to be reached in areas where access had been denied for three years. However, restored access had also increased total requirements. Inadequate funding replaced impeded access as the most critical obstacle.

37. Communities chronically affected by natural calamities have become victims of the war-damaged economy and of the lack of basic services. Recovery assistance, which could otherwise prevent or mitigate the effects of such calamities in marginal areas, remains largely on hold pending further commitment by the parties to the peace process. Recovery and development assistance represents a pot[illegible]l exit strategy from recurrent drought, flooding and resource-based conflict for land, pasture and water.

38. As at 22 May 2003, priority humanitarian concerns included large population displacement in Unity State, western Upper Nile, Kassala and Darfur; followed by drought in Red Sea, Darfur, the Butana plains, northern Bahr al-Ghazal and Blue Nile; and increased dependency on relief assistance as a result of armed conflict and erosion of coping mechanisms. Resources are needed to assist 3.5 million Sudanese who remain dependent on relief aid for survival. Of that number, some 1,674,760 at present reside in areas held by the SPLM and 1,708,650 in areas held by the Government of the Sudan, including 800,000 drought-affected persons and 96,000 persons newly displaced as a result of conflict in Upper Nile, Darfur and Kassala States.

B. Coordination and facilitation

39. During the reporting period, United Nations coordination was weakened by the following difficulties: (a) the highly politicized crisis, which precluded the adoption of coherent action plans; (b) information-gathering and planning constrained by restricted access and telecommunications; (c) ambiguous agreements; (d) diffuse management structures; (e) increases in the number of actors, which resulted in (f) a proliferation of working groups, consultative bodies and steering committees. By 2002, the means and ends of coordination had necessitated pragmatic adjustments.

40. The United Nations is setting up in-country arrangements to strengthen and expedite international assistance coordination under the Office of the United Nations Resident and Humanitarian Coordinator and through the United Nations Country Team. Several joint and system-wide services have been established to bring efficiency to the United Nations effort while generating products and processes that benefit emerging Sudanese and international assistance cooperation arrangements. Area coordinators are being deployed to strategic locations to facilitate cross-line operations and to enhance field reporting. Thematic groups have been formed to bolster sector and intersectoral coordination and to ensure that realistic Millennium Development Goals, targets and indicators are pursued.

1. Coordination with donors

41. The newly established United Nations Donors Principals Group, which also includes representatives of the International Federation of Red Cross and Red Crescent Societies (ICRC), the International Organization for Migration (IOM) and non-governmental organizations, meets monthly in Khartoum and Nairobi on a rotating basis to ensure convergence of approach on policy and strategic issues. A smaller United Nations Donor Working Group now meets fortnightly (a) to address immediate operational issues; (b) to review planning; and (c) to undertake in-depth examination of other issues remitted by the Principals Group.

2. Coordination with regional bodies

42. As concluded at the Sudan coordination meeting held in the Netherlands in April 2003, capital-level donor coordination shall be carried out within the framework of the IGAD Partners' Forum. The United Nations would be expected to facilitate such meetings, including the pledging conference for the Sudan to be held in Oslo following the signing of a peace agreement. In an effort to generate more support for the Sudan from non-traditional donors, the United Nations has held meetings with representatives of the League of Arab States and facilitated a workshop of Arab non-governmental organizations in April 2003.

3. Coordination with international non-governmental organizations

43. Coordination with international non-governmental organizations has been vastly improved. Representatives of such organizations are members of the Principals Group and Working Group (see para. 41 above) and are also active participants in thematic groups on the Millennium Development Goals and issue-specific task forces. A monthly information exchange forum with a wide membership is held with international and national non-governmental organizations in both Khartoum and Nairobi. The United Nations Resident and Humanitarian Coordinator also meets monthly with a steering committee of non-governmental organizations in both locations.

4. Coordination with Sudanese counterparts

44. The United Nations is fully committed to the principles of ownership, partnership and leadership by the nationals of the host country. There is now regular formal and informal contact with all authorities in the north and south. Regular interaction takes place with both sides on operational matters through working

groups on cross-line and humanitarian issues and, increasingly, on strategic planning issues.

C. Agriculture and food security

45. The Food and Agriculture Organization of the United Nations (FAO) directed its efforts towards agriculture, livestock, fisheries and coordination of household food security programme interventions, aimed at increasing self-reliance and food production.

46. A chronic shortage of funds notwithstanding, FAO has joined with local and international non-governmental organizations in the implementation of food security projects in the war- and drought-affected zones. The following activities were undertaken:

(a) *Agriculture*

(i) Seeds were distributed to over 500,000 beneficiaries annually in the affected areas;

(ii) Some 250,000 households were provided with assorted agriculture farming tools;

(iii) Peace-building efforts were supported in Abyei and Nuba, where 32,000 internally displaced persons and resettling households were assisted in 2002 and 2003;

(iv) In the drought-affected areas of Darfur, Kordofan, Red Sea and Kassala States, some 12,690 hectares of devastated grazing land were rehabilitated;

(v) Seed multiplication was promoted among internally displaced persons, which yielded indigenous seed varieties of sorghum in Bahr al-Jebel and groundnuts in Bahr al-Ghazal;

(vi) Training in the promotion of vegetable production was conducted in all programme areas;

(b) *Livestock*

FAO and non-governmental organizations supported disease-reporting systems and vaccination of livestock;

(c) *Fisheries*

(i) Community coping strategies were bolstered with the provision of basic fishing equipment;

(ii) Training was provided to 800 beneficiaries in fish processing, preservation techniques, boat building and net making;

(d) *Coordination*

(i) FAO coordinated planned interventions, strategies and priorities through sectoral working groups and quarterly information meetings;

(ii) Together with partner agencies, the southern sector has been able to compile multisectoral baseline needs and intervention data into a widely distributed information system.

D. Food aid interventions

47. WFP emergency operations continued to save lives and to stabilize the food security situation in the most severely affected areas. During the reporting period, 217,400 tons of assorted food commodities were provided to over three million beneficiaries through the emergency programme alone at a cost of $180 million.

48. Some 130,000 refugees were assisted with 41,177 tons of food aid commodities and a residual caseload of 91,772 refugees were assisted at a total cost of $20.6 million.

49. Food aid was used to promote recovery with emphasis on improving the lives of women and children in rural areas. At the time of reporting, WFP and non-governmental organizations partners were assisting over 360,000 schoolchildren through school feeding programmes and some 180,000 beneficiaries through food-for-work to improve access to water by constructing *hafirs* (reservoirs). During the period under review 35,729 tons of food commodities were distributed to promote recovery and development activities at a cost of $9 million.

50. WFP continued to provide logistical support to the humanitarian community by providing passenger air transport. This enabled United Nations bodies, non-governmental organizations and national counterparts to implement humanitarian activities throughout the country as well as to provide security and medical evacuation.

51. Data from partner non-governmental organizations, national counterparts and the United Nations Children's Fund (UNICEF) continued to reveal alarmingly high rates of malnutrition, in particular in conflict areas, despite massive food aid interventions. At the time of reporting, most areas had surpassed the national average of 19 per cent for global acute malnutrition. The main causes were escalated conflict in the south, recurrent drought and extended hunger gaps resulting from the late rains, which coincided with breaks in the food pipeline. Since late 2002, WFP has been able to provide relief food aid to an additional 900,000 newly accessible beneficiaries in Unity, Blue Nile and Red Sea (South Tokar) States and along the Sobat and Nile river corridors.

52. Cross-line land transport has been possible from Kadugli in the Nuba Mountains to Karkar and the surrounding villages in SPLA-controlled areas with a significant cost-saving. In December 2002, WFP began cross-line operation on the Sobat River. In May 2003, barge operations on the White Nile between Malakal and Juba started, serving more than half a million beneficiaries.

E. Emergency education

53. Provision of scholastic materials and teacher training, as well as materials and technical assistance for school construction and rehabilitation, was hampered by insecurity and restrictions on movement. Consequently, the net enrolment ratio for primary education in areas affected by conflict remains exceptionally low, at 28 per cent, while literacy rates for 15 to 24-year-olds average 30 per cent.

54. In collaboration with national authorities, non-governmental organizations and communities, UNICEF continued to make progress in improving access to quality education, especially for girls, in accordance with the Education for All goals.

During the reporting period, some 460 new schools and learning centres were constructed or rehabilitated. Considerable progress was also made in improving the quality of education, the learning environment and rates of retention of students. Printing presses were installed in Yambio, Rumbek and Bahr al-Ghazal, enabling production, for the first time, of 100,000 textbooks within southern Sudan. Satellite radios were provided to remote communities to promote distance learning. Work on the construction of water points and latrines in schools throughout the Nuba Mountains, Upper Nile, Bahr al-Ghazal, Eastern Equatoria and Lakes is continuing. Major advances were also made in improving the quality of instruction, with 20,400 teachers and school administrators being trained.

55. Guidelines were developed for a peace education initiative in primary schools, involving the promotion of a culture of peace.

56. WFP continued its Emergency School Feeding Programme. During the reporting period, 64,973 children were assisted in over 145 schools.

F. Health and nutrition

57. Malaria, acute respiratory infection, diarrhoea and malnutrition continued to be the leading causes of death of children in the Sudan. Accessibility to health-care services remained limited, as over 40 per cent of the population live more than 10 hours' walking distance from any health facility. WHO developed a modified *Integrated Management of Childhood Illnesses* package for complex emergency situations.

58. An estimated 8 million cases of malaria are reported per year, with a mortality rate of at least 30 per cent. In partnership with UNICEF, WHO intensified the Roll-Back Malaria programme. Insecticide-treated mosquito nets and rapid diagnostic tests for malaria were distributed to non-governmental organizations. Training and drugs were provided to 11 non-governmental organizations to implement intermittent presumptive treatment for pregnant women.

59. Tuberculosis continued to occur at epidemic levels in southern Sudan. It is estimated that 12,000 people develop tuberculosis and 4,800 people die of the disease annually in southern Sudan. WHO supports non-governmental organizations with drugs and capacity-building to implement the STOP TB programme. In northern Sudan, the STOP TB programme was extended to cover camps for internally displaced persons in 23 States and 297 laboratories were supported with training and supplies.

60. The leprosy programme was integrated at the primary health-care level in Mayen Abun (Bahr al-Ghazal), Old Fangak, Nyal (Upper Nile) and Lui (Mundri County). In the northern sector, the programme is integrated into the primary health-care system and the disability rate has decreased from 50 per cent in 1995 to 20 per cent in 2002.

61. Intestinal parasites are a major cause of anaemia, mental and cognitive retardation and stunting. Prevalence of intestinal parasites is higher than 80 per cent in children between 4 and 15 years. WHO supported eight non-governmental organizations to run school-based mass treatment with the provision of technical training and drugs.

62. In October 2002, WHO conducted two baseline studies on schistosomiasis in Lui (Mundri County) and Nyal (Upper Nile), which revealed prevalence at over 70 per cent. WHO provided medicine to several non-governmental organizations to start a school-based mass treatment of children.

63. The polio eradication initiative was intensified, with WHO, UNICEF, non-governmental organizations and national authorities collaborating to vaccinate over 6 million children four times annually. WHO expanded its surveillance programme for the polio eradication initiative throughout the Sudan and no case of wild polio infection has been detected since April 2001. The surveillance programme reached certification standard in both north and south Sudan in 2002 and is now used to target high-risk areas for future vaccinations.

64. In 2001, the Early Warning and Response Network was established to link communities with non-governmental organizations and international humanitarian agencies operating in Operation Lifeline Sudan areas. In 2001-2002, the Network was expanded to reach more than 400 communities. In 2002 the Network was also established in Government-held areas of southern Sudan, with 15 agencies covering 250 communities.

65. The human immunodeficiency virus/acquired immunodeficiency syndrome (HIV/AIDS) has reached a critical stage in the Sudan, with 2 per cent of the population infected. During 2001-2002, WHO provided blood kits to health facilities, trained laboratory technicians and established 42 surveillance sites in Blue Nile, Kassala, Upper Nile, Kordofan and Bahr al-Jabal.

66. Major interventions in the Government-held areas included measles campaigns covering hundreds of thousands of children in the drought-affected areas in Darfur and Kordofan States; training of hundreds of health workers; expansion of the integrated management of childhood illnesses approach in 14 States; and training of midwives and provision of midwifery kits in 9 States.

67. The emergency needs of 17,000 persons displaced as a result of the conflict in Raga were met by deliveries of drugs, food and equipment. The moderate outbreaks of meningitis in Equatoria and Upper Nile were addressed by providing vaccine to protect 150,000 persons and treating 4,000 clinical cases. Therapeutic food items and drugs were provided to centres in Juba, Malakal, Wau, Bentiu, Kordofan and Darfur. About 90 per cent of children received vitamin A supplements.

68. Major activities supported by UNICEF in Government-held areas included primary health-care interventions in Nuba. The agency also responded to the health, nutrition and relief needs of 110,000 flood-affected persons in Western Kordofan, White Nile and New Halfa, in addition to war-affected internally displaced persons from Mayom in Unity State, Kassala and Blue Nile. Over 90,000 persons at risk were protected with meningitis vaccine in Kordofan, Kassala and Gadaref. HIV/AIDS education for personnel of non-governmental organizations and government sectors in addition to at risk groups was initiated. HIV/AIDS counselling and the syndromic approach to AIDS treatment were strengthened in 14 States.

69. Activities aimed at improving the nutritional status of children included the provision of UNIMIX and BP5 for malnourished children in high-risk areas. The establishment of comprehensive nutrition centres in Southern Darfur and Northern Kordofan States and community-based nutrition surveillance in Northern Darfur,

Blue Nile, Southern and Western Kordofan and Upper Nile States contributed to the early identification and management of malnutrition in drought-affected areas. Nutrition-related activities included support for growth monitoring activities in 49 community centres and the provision of items to support therapeutic feeding programmes.

70. In the SPLM-held areas, interventions continued to focus on provision of primary health care, the Expanded Programme of Immunization and building the capacity of local health workers. Hundreds of thousands of children and women were vaccinated against measles and tetanus, respectively. Essential drugs were provided to primary health-care units.

71. Capacity-building activities included training of new community health workers, traditional birth attendants and village health committee members in the management of primary health-care units. Other activities included the provision of kits to health facilities in Rumbek, Yambio, Aburoc, Nyal and Mariel Bai.

G. Human rights and Peace-building

72. The Sudanese people continued to be subjected to serious human rights abuses, which have been documented in numerous human rights reports, including those of the Special Rapporteur of the Commission on Human Rights on the situation of human rights in the Sudan. Such abuses include denial of rights of expression and association, restrictions on freedom of the press, harassment of certain opposition groups and religious bodies, arbitrary arrest and detention and arbitrary interpretation and application of laws. Abuses directly attributable to the civil war include forced displacement, intentional attacks on civilians, abductions, the forcible recruitment of children and other civilians as soldiers and forced labourers, hostage-taking, rape, looting, destruction of food supplies and the denial of access to humanitarian assistance.

73. The report of the Special Rapporteur to the General Assembly of 20 August 2002 (A/57/326) concluded that the human rights situation in the Sudan had not yet changed significantly. During the reporting period, amendments to the Criminal Procedure Act of 1991 and the National Security Forces Act, giving additional powers to security forces, and the extension by the National Assembly of a state of emergency reduced prospects for immediate improvement.

74. In January 2001, the Government of the Sudan took important steps to strengthen the Committee for the Elimination of Abduction of Women and Children by reconstituting it within the Office of the President. The Government of the Sudan and the SPLM made further strides in 2002 and 2003 towards respect for human rights and settlement of the 19-year civil war through a series of memorandums of understanding. However, those declarations lessened, but did not eliminate, military and militia attacks against civilians. In February 2003, the Civilian Protection Monitoring Team reported serious violations of agreements between the Government and the SPLM, including lethal attacks on civilian targets.

75. In 2002, the Office of the United Nations High Commissioner for Human Rights held human rights seminars focusing on target groups such as police and security officers, government officials entrusted with reporting under international treaty bodies, members of Sudanese non-governmental organizations and Islamic

organizations working in human rights, peace-building and the humanitarian field, police officers and social workers working in prisons, journalists and parliamentarians. While it appears premature to assess the impact of those activities, no tangible progress was made in terms of creation of structures or legislation for the protection or promotion of human rights, nor did the Government of the Sudan launch any specific initiatives on a national plan of action. A certain number of recommendations made by participants in the seminars remain outstanding. Training sessions have helped strengthen trust between civil society and governmental institutions, however. With the launch of the technical assistance programme in the field of human rights, a constructive discussion on human rights within governmental institutions and civil society has been initiated.

76. Any peace agreement will need to include guarantees that all children under the age of 18 are demobilized from regular and informal armed forces, militia and armed groups within six months of the signature of the agreement. All children separated from their families and residing with or working for members of fighting forces would need to be registered for family tracing within the same period. Authorities would be responsible for mobilizing resources, both within the country and from the international community, to address the special needs of children in the processes of disarmament, demobilization, return and reintegration. UNICEF and other child protection agencies would be invited to assist in that process.

H. Mine action

77. Following a request for assistance by the Government of the Sudan and the United Nations Resident and Humanitarian Coordinator, the United Nations Mine Action Programme, in partnership with the United Nations Office for Project Services and UNICEF, established an Emergency Mine Action Programme in the Sudan in March 2002. Based on new opportunities such as the Nuba Mountains Ceasefire Agreement and peace talks, a concept of operations was developed and formally adopted on 19 April 2002.

78. Mine action technical advice was provided and a tripartite memorandum of understanding was signed between the SPLM, the Government of the Sudan and the United Nations on 19 September 2002. Under the terms of the memorandum, the United Nations will seek to help both parties to jointly develop a national mine action strategy that meets the needs of the emergency humanitarian situation and plans ahead to a post-war Sudan. The Government of the Sudan is a signatory to the 1997 Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on Their Destruction and the SPLM has made commitments to comply with the Geneva Call, a parallel instrument subjecting non-State actors to the same obligations.

79. In accordance with the memorandum of understanding, mine action support is provided to the National Mine Action Office, with Mine Action Coordination Offices in Kadugli, the Nuba Mountains and Rumbek. Operations to clear mines and unexploded ordnance have commenced in the Nuba Mountains. Some 200,000 square metres have been cleared, enabling hand pumps and water wells to be put back into use and facilitating the return of entire communities. For the first time in 19 years, WFP has been able to deliver humanitarian assistance/food to SPLM-held

Karkar in the Nuba Mountains in a convoy originating from Government-controlled territory.

I. Refugee assistance

80. As at mid-2003, there were 104,500 refugees living in camps, primarily from the Democratic Republic of the Congo, Eritrea, Ethiopia, Somalia and Uganda. An estimated 218,800 additional refugees were residing in urban areas. Of the total 323,300, some 62,000 had volunteered to be repatriated to Eritrea. Facilitating the repatriation continued to be the main focus of the United Nations High Commissioner for Refugees (UNHCR) and its partners, along with efforts to protect and assist those remaining in the Sudan pending identification of durable solutions. In eastern Sudan, where the majority of refugee settlements are located, repeated rebel incursions and their occupation of two towns have not only created setbacks for repatriation but strained relations between Eritrea and the Sudan. As a result, the Government of the Sudan closed its border with Eritrea on 4 October 2002, thus forcing a temporary suspension of repatriation.

81. Under the "ceased circumstances" cessation clause for Eritrean refugees of 31 December 2002 (to the 1951 Convention relating to the Status of Refugees), affected refugees are required either to register for voluntary repatriation, to apply for regularization of their status in the Sudan or to claim continued refugee status before the end of 2003. The Government of the Sudan does not favour local integration of refugees for whom repatriation is not an option. The ability of UNHCR to phase out assistance will depend on the success of its advocacy in that context. Refugees who do not wish to repatriate will be screened and their status determined on a case-by-case basis. The remaining Eritrean refugees, as well as refugees of other nationalities, continue to benefit from international protection and assistance, including basic food rations from WFP.

82. UNHCR works in partnership with the Government of the Sudan and seven non-governmental organizations to provide health care, water and sanitation, income-generating activities, skills training and agricultural inputs. The Office is rehabilitating deforested land, maintaining agro-forestry wood lots as a regenerative fuel source and distributing tree seedlings to refugees and locals for "greening" of the settlements.

83. The closure of the existing 18 refugee camps and their handover to Government is planned. A joint UNHCR/FAO mission was organized to develop projects for rehabilitating refugee-affected areas and to support relocation and livelihood creation in two remaining camps for the remaining Eritrean refugees who have compelling reasons not to return.

J. Water and environmental sanitation

84. Insecurity and inaccessibility have hampered projects to construct or repair water facilities in areas such as Upper Nile, Jonglei and Bahr al-Ghazal. Some 40 per cent of hand pumps and 60 per cent of water yards are not in working order. In war-affected areas more than 70 per cent of hand pumps and water yards need rehabilitation.

85. Approximately 670,000 Sudanese children under five die each year from preventable causes, of which deaths 40 per cent are attributable to diarrhoeal disease. Many deaths are also caused by Guinea worm infestation, which afflicts more than 4,000 villages in southern Sudan and represents 80 per cent of the caseload worldwide.

86. Gradual improvements in humanitarian access and service have enabled agencies to improve water supply, sanitary facilities and hygienic practices. UNICEF, non-governmental organizations and Sudanese counterparts have been able to provide over 1.2 million people with access to safe drinking water. Some 300 boreholes have been drilled. Hand pumps have been installed or rehabilitated to establish over 1,000 water points and hundreds of water yards and wells have been built and natural springs protected in war- and drought-affected areas. Sanitation and hygiene-related activities have included construction of thousands of household, school and communal latrines.

87. Activities in this sector significantly contributed to ceasefire initiatives in the Nuba areas where water supply and sanitation projects facilitated resettlement of internally displaced persons and returnees in Kadugli, Dilling, Talodi and Lagawa Provinces. Interventions in Jonglei and Lakes States (Lou and Aliab areas) assisted in resolving conflicts over water facilities. Efforts also continue to be made to increase access to safe drinking water and to reduce resource-based conflict in the Nuba Mountains.

88. Ongoing projects aim to increase access to safe drinking water and sanitation for an additional 1.9 million persons and to improve environmental sanitation and hygienic conditions for 150,000 persons living in war- and drought-affected areas and in Guinea worm endemic villages.

IV. Action taken by Member States

89. Positive political and security developments have prompted Member States to refocus energy on the future of the Sudan in a concerted and active manner. They have engaged in diplomacy on the sidelines of the peace talks and supported the Joint Monitoring Commission in the Nuba Mountains, the Civilian Protection Monitoring Team and Verification Monitoring Team. These démarches provided positive reinforcement of the peace process, as did the decision of the United States of 22 April 2003 not to impose sanctions under the Sudan Peace Act, on the grounds that the parties had shown good faith in the peace talks.

90. Donors balanced disincentives with signals of intent to support the rebuilding of the Sudan and to provide other incentives, should the Government of the Sudan and the SPLM further commit to peace. Three meetings of the Donor Working Group on the Sudan were held in Geneva, Oslo and Noordwijk, the Netherlands (October 2002-April 2003), to prepare for the implementation of a final settlement and the provision of international assistance.

91. Programme support will hinge to a large extent on the commitment of the Government of the Sudan and the SPLM to the peace process, but it cannot be guided or scheduled by political criteria alone. International law identifies rights and guarantees that are relevant to all Sudanese and at all times prior to, during and after political transition. Innovative and highly flexible funding facilities will need to be

established that support advance planning and pre-positioning of recovery resources by technical experts. Meanwhile, there is a risk that an inadequate response in meeting critical humanitarian needs and restoring livelihoods and stability could undermine the peace process and further infringe upon basic rights.

92. Despite clear evidence of persistently high levels of food insecurity and socio-economic vulnerability, funding of the United Nations consolidated inter-agency appeal has remained low, averaging only 60 per cent of requirements for the period 2000-2001. Actual needs continued to rise because of expanded humanitarian access, drought and the outcome of assessments, resulting in overall 2003 requirements being revised upwards from $255 million to $272 million. As at mid-year 2003, the response remained low (30 per cent), forcing many programmes to put on hold and severely limiting the ability of agencies to maintain core competencies and readiness.

V. Non-governmental organizations

93. Non-governmental organizations have continued to play a vital role in the planning and delivery of emergency aid and in the provision of much needed technical assistance. During the reporting period, the number of active international non-governmental organizations increased from 63 to 74. They have a comparative advantage not only as regards numbers, but also given the variety of domestic and international interests that they represent. They have consequently been able to advocate for and bring a multitude of ideas to humanitarian and recovery agendas. Most are field-based, with first-hand knowledge of the country and the ability to respond quickly, through decentralized structures, and with a high degree of operational flexibility. Given their grass-roots approach and worldwide networks, they have been effective in raising visibility and consciousness concerning human rights and in advocating for expanded access and the welfare of disadvantaged groups.

94. The questionable actions of a small number of non-Operation Lifeline Sudan entities have raised concern among security organs that non-governmental organizations may usurp or undermine national interests. Such concerns, often exaggerated, were sustained during the reporting period as non-governmental organizations sought greater influence in governance and policy formulation. They generally demanded more accountability on issues of peace, security and human rights. As a result, organizations have encountered serious access difficulties, including unequal treatment in the issuance of visas, travel permits and telecommunications licences. Scepticism concerning the activities of non-governmental organizations gave rise to constructive partnerships as the organizations sought closer ties with the United Nations: the number of non-governmental organizations participating in the consolidated appeal process increased from none in 2001 to nine in 2003.

95. Acknowledging the important role of non-governmental organizations, United Nations bodies and Member States in March 2003 invited representatives of non-governmental organizations to become full and equal members of the United Nations Emergency Operations Group, restructured and renamed the Principals Group. The terms of reference of the Group were also changed to better tap the information and policy proposals of non-governmental organizations as well as

benefit from their substantial input to its deliberations. At the request of the United Nations and through the sponsorship of the Government of the Netherlands, non-governmental organizations were able to attend and contribute to the Sudan coordination meeting held in the Netherlands in April 2003.

VI. Outlook for peace and recovery

96. The foundations for substantive progress towards peace now exist, although expectations of reaching a final agreement on security and institutional arrangements by mid-2003 appeared improbable. During the past four decades, civil conflict has been the main cause of human suffering in the Sudan and will deserve vigorous attention in the months ahead with security improving, as well as internally displaced persons and refugees likely to be returning home. Many potential returnees will take a wait-and-see approach. Some 25 per cent, or 800,000 to one million, will likely return in the first year to areas lacking physical and social infrastructure. Soldiers, including children, will be partially demobilized and will return to the same communities, constituting a large, unskilled group that will threaten social stability if not gainfully employed.

97. It is crucial that a transitional programme be planned and funded in advance of any settlement. Meetings of the Donor Working Group on the Sudan have underscored the importance of supporting the existing consolidated appeal process as an effective tool to save lives and restore stability.

98. Humanitarian access to previously denied or war-affected areas is expected to improve with a peace agreement. It will also result in a corresponding increase in humanitarian needs for the next year or two. Should a peace agreement be concluded during 2003, the revised consolidated appeal process would remain valid as the overall basis for funding immediate humanitarian assistance to the Sudan, whatever the circumstances.

99. There is consensus on the need to provide incentives to sustain peace, targeted at defined groups and geographical areas. The outline of such a quick-start peace impact programme was presented at the meeting in Noordwijk, the Netherlands, along with the Sudan assistance framework, which underlines objectives, strategies and priorities for delivery of United Nations assistance to the Sudan in the foreseeable future. For 2004, the proposed mechanism for planning and resource mobilization is a consolidated Sudan appeal for humanitarian and transitional assistance. This would be guided by the Millennium Development Goals framework and allow potential investors an overview of the country's requirements for international assistance, including continued humanitarian relief, quick-start peace impact activities and support for capacity-building and funding of agreed Sudanese institutions. Equity in addressing needs countrywide will instil confidence in the new peace. The Sudan assistance framework sets out criteria for prioritization of resources, which will be refined in further consultation with Sudanese counterparts and through newly established thematic goal groups in the context of the Millennium Development Goals.

100. Work has commenced on the drafting of a poverty reduction strategy paper under Sudanese leadership, with technical assistance from the World Bank, which the United Nations expects will provide the framework for investment in reconstruction and development. The World Bank, which re-established its presence

in the Sudan in May 2003, is also preparing a capacity-building technical assistance programme and holding preliminary discussions on debt relief.

VII. Conclusions

101. Following a peace agreement, there will be a crucial and immediate need to ensure the security of the Sudanese people, in the form of cessation of hostilities and access to basic social facilities. Lessons drawn from other countries emerging from crisis will be applied to bring needed change.

102. Firstly, the United Nations Country Team has made progress in planning a common humanitarian action plan and consolidated inter-agency appeal for 2003 with appropriate humanitarian and other components. Donor working groups have endorsed the quick-start peace impact programme to complement the consolidated appeal process. Those plans will need to be further refined, integrated into bilateral assistance programmes, and endorsed by Sudanese counterparts so as to represent the first phase of a coherent transitional assistance programme for the Sudan.

103. Secondly, assistance partners must act urgently to ensure that effective mechanisms are in place for consolidating any peace that is negotiated but not fully implemented.

104. Thirdly, the present multifaceted approach, covering diplomatic, political and economic factors, must be sustained in a concerted manner, while non-traditional donors and regional bodies are encouraged to contribute to joint planning and cost-sharing. Additionally, there must be high-level strategic and operational coordination among the actors, who will need to ensure they have sufficient in-country capacity to engage effectively in coordination and joint planning.

105. Fourthly, the effort must be adequately planned and financed before a peace agreement is signed, requiring that existing funding facilities be made more flexible and responsive to humanitarian and transitional needs. Adequate attention must also be given to sectoral balance when allocating funds. Reintegration of internally displaced persons, ex-combatants and refugees into affected communities must be based on an integrated approach that provides food security while addressing long-standing gaps in the key areas of water, health and education.

106. Meanwhile, there is no time for complacency. The humanitarian imperative to save lives and reduce human suffering cannot await the completion of the peace process. Funding shortfalls in food security, health care, water and sanitation and other sectors are hindering attempts to stabilize the situation and to lay minimal foundations for recovery. An urgent infusion of funds is crucial to ensure that core competencies are retained and that agencies maintain their readiness, including sufficient planning and implementation capacity, as well as adequate material stocks and the means to deploy them. Only with such commitment will the possibility exist to set recovery in motion and to consolidate peace, which, once broken, would be enormously difficult and costly to mend.

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Financing of the International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991

Budget for the International Criminal Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991 for the biennium 2004-2005

Report of the Secretary-General

Summary

In accordance with General Assembly resolution 57/288 of 20 December 2002, the present report contains the resource requirements for the biennium 2004-2005 of the International Criminal Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991.

The resources for the biennium 2004-2005 before recosting amount to $262,283,100 gross ($234,808,500 net) and reflect a decrease in real terms of $992,500 net, compared to the revised appropriation for 2002-2003. The real resource changes reflect a proposed reorganization and initial downsizing of the staffing table as an initial step to implementing the approved completion strategy.

In nominal terms, the estimate for the biennium 2004-2005 amounts to $329,616,100 gross ($298,687,000 net) and reflects an increase of $63,878,500 net, due in substantial part to the decline in the strength of the United States dollar vis-à-vis the euro, which represents the primary currency in which the Tribunal's activities are implemented.

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I. Introduction

1. The terms of reference of the International Criminal Tribunal for the Former Yugoslavia were established by the Security Council in its resolution 808 (1993) of 22 February 1993. The statute of the Tribunal, adopted by the Security Council in its resolution 827 (1993) of 25 May 1993, provides in article 11 that the Tribunal shall consist of three organs, namely, the Chambers, the Prosecutor and a Registry. The activities for which the Tribunal is responsible also appear in the statute.

2. The Security Council, through its resolution 1329 (2000), expressed its continuing conviction that the prosecution of persons responsible for serious violations of international humanitarian law in the territory of the former Yugoslavia contributed to the restoration and maintenance of peace in the former Yugoslavia.

3. From 2000 onwards, with the adoption of Council resolution 1329 (2000), the Tribunal has undertaken several initiatives to speed up proceedings, such as the creation of a pool of ad litem judges, the appointment of two additional judges to the Appeals Chamber and the amendments to the Rules of Procedure and Evidence of the Tribunal, in order to allow the judges to play a more active role in court proceedings. At an extraordinary plenary session of the judges of the Tribunal, held on 23 April 2002, the President presented a report on a completion strategy for the Tribunal. The judges agreed with the major directions set out therein. The report was transmitted by the Secretary-General to the Security Council on 17 June 2002 (see S/2002/678).

4. In a statement made on 23 July 2002, by the President of the Security Council, on behalf of the Council, the report on the judicial status of the Tribunal and the prospects for referring certain cases to national courts was endorsed (PRST/2002/21). The report presented the completion strategy of the Tribunal, setting 31 December 2008 for the completion of first instance trials and 31 December 2010 for the completion of appeals.

5. The report comprises two main pillars, namely, (a) the fair and expeditious completion of trials at the Tribunal in accordance with the time line set for the completion strategy and (b) the transfer of cases against accused persons detained under the authority of the Tribunal to national courts of Bosnia and Herzegovina.

6. In support of the first pillar, the Tribunal will continue to undertake six concurrent trials through the use of 16 permanent and 9 ad litem judges and to complete all related appeals in the most expeditious manner. The capacity of the Tribunal will continue to be fully utilized, with all work units dedicated to the principal goal of trial activity.

7. The Chambers will, through its Judicial Practices Working Group, Rules Committee and plenary sessions, investigate additional ways to reduce the length of proceedings, for example, by continued review of the Rules of Procedure and Evidence. Special emphasis will be placed on the pre-trial phase of the proceedings, as this has a significant impact upon trial proceedings. The numerous reforms undertaken over the previous two years, including the conduct of pre-trial procedures by the Chambers' senior legal officers, the additional powers conferred on judges to control proceedings and the adoption of practice directions, will continue to improve the pace of judicial activity.

8. The biennium 2004-2005 will be a watershed for the Office of the Prosecutor, which will strive to meet the goal of bringing all priority investigations to the indictment stage by the end of 2004 and, at the same time, continue to support trial activity. As investigations are completed, the Office will be reorganized. A gradual reduction in posts will be effected in 2005 within the Investigations Division, resulting in the abolition of 43 posts and the redeployment of 18 posts to other priority areas in the Tribunal. While all investigations will be brought to the indictment stage by the end of 2004, the Office of the Prosecutor will be required to maintain a core investigative capacity to continue to support trials and appeals after 2004.

9. In addition, the Tribunal will undertake a number of concrete measures aimed at reducing the length of trials and improving efficiency, such as the strengthening of the Chambers Legal Support Section, the introduction of the Judicial Database, the establishment of a Document Control Unit, as well as the consolidation of computer databases throughout the Office of the Prosecutor.

10. In support of the second pillar, the Tribunal will continue to play an active role in facilitating the referral of cases to national courts, including continuing contacts and consultations with the Office of the High Representative on the creation of a special judicial organ within the State Court of Bosnia and Herzegovina, which has jurisdiction over cases referred to it by the Tribunal, and the implementation of rule 11 bis of the Rules of Procedure and Evidence of the Tribunal, which allows for such referral. In addition, a Transition Team will be established within the Office of the Prosecutor to oversee (a) the preparation of the transfer of cases from the Tribunal to the State court in Bosnia and Herzegovina in support of the completion strategy and (b) the preparation of dossiers for all other lower-level war crime perpetrators identified during investigations, with a view to transferring those dossiers to the appropriate prosecuting authorities in the countries of the former Yugoslavia.

11. With the preparatory groundwork having been undertaken and now in the process of completion, the implementation of the completion strategy will be the main focus of the Tribunal during the biennium 2004-2005.

12. On 24 December 2001, the General Assembly adopted resolution 56/247 A, in which it decided to appropriate to the Special Account, on a provisional basis, subject to further review at its resumed fifty-sixth (March 2002) session, a total amount of $242,791,600 gross ($218,216,300 net) for the biennium 2002-2003. By the same resolution, the Assembly also decided that the staffing table for the Tribunal should remain at levels approved for 2001 until further review at its March 2002 session.

13. On 27 March 2002, the General Assembly adopted resolution 56/247 B, by which it approved a revised appropriation of $248,926,200 gross ($223,169,800 net) for the Tribunal for the biennium 2002-2003, which included resources for audit and investigative services at the Tribunal. The Assembly also approved a revised staffing table comprising 1,052 posts for the biennium 2002-2003, representing an increase of 84 posts vis-à-vis the 2001 staffing table.

14. On 20 December 2002, the General Assembly adopted resolution 57/288, in which it decided that the revised appropriation approved in resolution 56/247 B for the biennium 2002-2003 would be increased to $262,653,700 gross ($235,955,000

net) in order to cover the additional requirements for an additional trial team in the Office of the Prosecutor (six new posts) as well as adjustments in the recosting of the appropriation. The current number of authorized posts is 1,058.

15. In resolution 57/288, the Assembly requested, inter alia, that the budget requirements for the Registry, the Office of the Prosecutor and the non-judicial administrative functions of the Chambers be presented in a results-based format linking inputs to objectives, expected accomplishments and indicators of achievement. Pursuant to that resolution, the Secretary-General has prepared a results-based logical framework reflecting these, as well as performance measures, with respect to baseline and targets. External factors have also been included. The logical framework has been prepared in compliance with General Assembly resolution 55/231 of 23 December 2000, on results-based budgeting, and with the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. The definitions of a number of key terms, as set out in the Regulations and Rules Governing Programme Planning, are highlighted in table 10.

16. Prior to the preparation of the budget for the Tribunal, its staff received training on the results-based budgeting approach currently practised at the United Nations. Results-based management was emphasized as a requirement for the full implementation of the Tribunal's work, which is to be geared towards the achievement of the expected results, taking due account of the completion strategy.

17. The overall level of resources for the biennium 2004-2005 amounts to $234,808,500 net at 2002-2003 rates (i.e. before recosting to 2004-2005 rates), reflecting a real resource decrease of $992,500, or 0.4 per cent, compared to the revised appropriation for the biennium 2002-2003. The overall reduction in resource requirements is the combined effect of the following factors:

(a) Abolition of 43 posts within the Investigations Division in 2005, including 34 investigator posts (16 P-3 and 18 P-2), effective 1 July 2005, and 9 General Service (Other level) administrative posts, effective 1 January 2005, in the Skopje and Pristina field offices;

(b) Reclassification from the P-4 to the P-5 level of the post of Chef de Cabinet in the Office of the President. The incumbent performs the essential role of managing the President's Office, providing substantive legal and political advice to the President and the Bureau, acting as the focal point with respect to the President, and representing the President in various capacities;

(c) The Chambers is composed of three trial chambers and one Appeals Chamber. Within each trial chamber, there are two trial sections, each conducting one trial at a time. The Chambers Legal Support Unit provides the legal and administrative support to the judges serving in each trial section. Currently, each trial chamber is headed by a senior legal officer (P-5) and the three officers are in charge of up to three trials and eight pre-trial cases at any one time. Each trial section is managed by a legal officer (P-3), who is required to perform a diverse range of tasks, including direct reporting to three judges, supervision of a team of at least four associate legal officers (P-2), responsibility for the structuring and executing of a trial work plan for the recording and analysis of evidence and drafting of judgements, maintenance of in-court support to the judges and liaising with the defence and prosecution. In view of the level of responsibility, four P-3

posts are proposed for reclassification to the P-4 level. With the inward redeployment of two P-4 posts from the Investigations Division, all six trial sections would be headed by a legal officer at the P-4 level;

(d) Financing was approved for two P-4 posts and one P-3 post for oversight functions in the Tribunal from general temporary assistance for the biennium 2002-2003. Since these posts will be required on a continuous basis for the duration of the Tribunal's mandate, they are being proposed for conversion to temporary posts. There would be a corresponding reduction in resources for general temporary assistance;

(e) Provision for the delayed impact of growth in respect of the 90 posts approved as new posts for the biennium 2002-2003;

(f) Changes in overall non-post provisions, reflecting reduced requirements, mainly under mission subsistence allowance, temporary assistance for interpretation, travel of staff, supplies and furniture and equipment, partly offset by increased requirements under contractual verbatim reporting, which had previously been funded from temporary assistance for interpretation.

18. In addition, 20 posts, 18 from the Investigations Division, along with two from the immediate Office of the Prosecutor, would be redeployed to strengthen capacity in the priority areas within the Tribunal. Details of the redeployments are set out below:

(a) Two posts (1 P-4 and 1 P-3, effective January 2004) from the Financial Tracing Unit and three posts (1 P-3 and 2 P-2, effective July 2005) from the Investigations Division to the Appeals Unit. These redeployments would considerably strengthen the Appeals Unit, which is anticipating a significant increase in the number of appeals to be heard in the biennium 2004-2005;

(b) One P-4, effective January 2004, and one P-4, effective January 2005, from the Investigations Division to the Prosecution Division, in anticipation of increased workload as a result of a large number of cases in the pre-trial phase;

(c) Three posts (2 P-2 and 1 General Service (Other level)), effective January 2005 from the Investigations Division to the Victims and Witness Section, to provide internationally accepted protection services for relocated witnesses, provide a systematic and efficient way of communicating with witnesses and reinforce the field office in Sarajevo;

(d) Two P-4 posts effective January 2005, and four P-3 posts, effective July 2005, from the Investigations Division to the Chambers Legal Support Section. This would provide support for the increased trial and appeal activity which has resulted from the appointment of ad litem judges (see also para. 17 (c));

(e) One General Service (Other level) post, effective January 2005, from the Investigations Division to the Detention Unit, to provide for a full-time language assistant fluent in Albanian to monitor telephone calls and provide interpretation services for Albanian-speaking detainees;

(f) Two P-3 posts, effective July 2005, from the Investigations Division to the Registry Advisory Section. The establishment of liaison officers in the Sarajevo and Belgrade field offices would facilitate a crucial requirement of the Tribunal's mandate of transferring war crimes cases to the State courts;

(g) One P-3 post, effective July 2005, from the Investigations Division to the Human Resources Section. A monitoring mission undertaken by the Office of Human Resources Management in November 2002 concluded that, in order for the Section to efficiently address issues beyond recruitment and staff administration in a more comprehensive and substantive manner without continuing to overtax the current Professional staff, an additional post for training, the performance appraisal system (PAS) and classification issues should be made available.

19. The recosting of the budgetary provisions to 2004-2005 rates would require a net increase in the amount of $67,333,000. The recosting consists of the impact for changes in exchange rates ($45,567,900), inflation ($12,151,700), adjustments to standard salary costs ($5,899,200) and implementation of the International Civil Service Commission recommendation on net remuneration ($3,714,200).

20. During the biennium, extrabudgetary resources are estimated at $7,252,200, reflecting a net decrease of approximately $5,302,900, to be utilized for a variety of activities of the Tribunal. The decrease results from the completion of ongoing projects for which full funding was received.

Table 1
Percentage distribution of resources by component

	Assessed budget	*Extrabudgetary*
1. Chambers	3.4	-
2. Office of the Prosecutor	30.2	23.2
3. Registry	66.4	76.8
Total	**100.0**	**100.0**

Table 2
Resource requirements by component
(Thousands of United States dollars)

(1) *Assessed budget*

Component	*2000-2001 expenditure*	*2002-2003 appropriation*	*Resource growth*		*Total before recosting*	*Recosting*	*2004-2005 estimate*
			Amount	*Percentage*			
Expenditure							
1. Chambers	5 793.5	8 776.2	224.2	2.6	9 000.4	368.3	9 368.7
2. Office of the Prosecutor	72 427.4	81 890.7	(2 756.2)	(3.4)	79 134.5	20 801.4	99 935.9
3. Registry	131 072.0	171 986.8	2 161.4	1.3	174 148.2	46 163.3	220 311.5
Total expenditures (gross)	**209 292.9**	**262 653.7**	**(370.6)**	**(0.1)**	**262 283.1**	**67 333.0**	**329 616.1**
Income							
Income from staff assessment	23 744.0	26 698.7	591.9	2.2	27 290.6	3 454.5	30 745.1
Other income	79.9	154.0	30.0	19.5	184.0	-	184.0
Total requirements (net)	**185 469.0**	**235 801.0**	**(992.5)**	**(0.4)**	**234 808.5**	**63 878.5**	**298 687.0**

(2) *Extrabudgetary*

	2000-2001 expenditure	*2002-2003 estimate*	*2004-2005 estimate*
Activities	11 200.9	12 555.1	7 252.2
Total	**11 200.9**	**12 555.1**	**7 252.2**
Total (1) and (2)	**196 669.9**	**248 356.1**	**305 939.2**

Table 3
Post requirements

	Assessed budget		*Extrabudgetary*		*Total*	
Category	*2002-2003*	*2004-2005*	*2002-2003*	*2004-2005*	*2002-2003*	*2004-2005*
Professional and above						
USG	1	1	-	-	1	1
ASG	1	1	-	-	1	1
D-2	1	1	-	-	1	1
D-1	4	4	-	-	4	4
P-5	34	35[a]	-	-	34	35
P-4	116	121[b]	-	-	116	121
P-3	205	186[c]	1	1	206	187
P-2/1	146	128[d]	1	1	147	129
Subtotal	**508**	**477**	**2**	**2**	**510**	**479**
General Service						
Principal level	12	12	-	-	12	12
Other level	383	374[d]	16	16	399	390
Security Service	155	155	-	-	155	155
Subtotal	**550**	**541**	**16**	**16**	**566**	**557**
Total	**1 058**	**1 018**	**18**	**18**	**1 076**	**1 036**

[a] Includes the reclassification of one P-4 post to the P-5 level in the Office of the President.

[b] The net increase relates to the reclassification of four P-3 posts to the P-4 level in the trial sections, conversion of two P-4 posts from temporary assistance resources for oversight services and reclassification of one P-4 post to the P-5 level in the Office of the President.

[c] The net reduction reflects the abolition of 16 P-3 posts, effective July 2005, reclassification of 4 P-3 posts to the P-4 level in the trial sections and the conversion of 1 P-3 post from temporary assistance resources for oversight services.

[d] The reduction reflects the abolition of 18 P-2 posts, effective July 2005, and 9 General Service (Other level) posts, effective January 2005.

II. Programme of work and resource requirements

A. Chambers

21. The Chambers comprises primarily the 25 judges of the Tribunal. It is the judicial organ of the Tribunal performing its core activity: the determination of the guilt or innocence of persons accused of serious violations of international humanitarian law committed in the territory of the former Yugoslavia since 1991. Through its judicial activities, the Chambers will continue to ensure that all accused persons are provided a fair trial without undue delay.

22. The Chambers' main objective for the biennium 2004-2005 will be to continue to undertake six trials concurrently through the use of the 16 permanent and 9 ad litem judges and to complete all interlocutory appeals, along with the conduct of all appeals from judgement, as expeditiously as possible. It will also strive to meet the judicial obligations arising from its completion strategy, as set out in the statement by the President of the Security Council of 23 July 2002 (S/PRST/2002/21), including the completion of all trials by 2008 and all appeals by 2010.

23. By the end of the biennium 2004-2005, it is expected that the Chambers will have completed, during the biennium, the following: 12 trials, 12 pre-trial procedures, 6 pre-appeal procedures, 8 appeals from final trial chamber judgements and all interlocutory appeals arising from the above. To allow for this unprecedented level of courtroom activity, the Chambers has maximized the use of available resources through the operation of its three courtrooms during two shifts per day, thus extending beyond the normal working hours.

24. The Chambers will, through its Judicial Practices Working Group, Rules Committee and plenary sessions, investigate additional ways to reduce the length of proceedings, for example, by continued review of the Rules of Procedure and Evidence, and strengthening the management and staffing of the legal support in Chambers. Special emphasis will be placed on the pre-trial phase of the proceedings, as this can have a significant impact upon the trial proceedings. The numerous reforms undertaken over the previous two years, including the conduct of pre-trial procedures by Chambers' senior legal officers, the additional powers conferred on judges to control proceedings and the adoption of practice directions, will continue to improve the pace of judicial activity.

25. Finally, the Chambers is expected to benefit from the implementation of a number of internal measures aimed at reducing the length of trials, namely: (a) the introduction of the Judicial Database, which will be fully operational by the end of 2003; (b) the introduction of several Office of the Prosecutor automated systems, which will have a time-saving impact on the Chambers' work as well; and (c) the establishment of a Document Control Unit.

26. The Office of the President provides advice and assistance, as well as logistical and secretarial support, to the President of the Tribunal in the exercise of his or her functions. The President is the highest authority of the Tribunal, acting as its institutional head, and is responsible for the overall execution of the mission of the Tribunal. The President is also responsible for representing the Tribunal before the General Assembly and the Security Council and performs representational functions vis-à-vis heads of missions.

27. For the biennium 2004-2005, of primary importance for the Office of the President will be carrying forward the completion strategy initiated by the Tribunal and endorsed by the Security Council in the statement of its President dated 23 July 2002. That policy is aimed at facilitating the referral of cases to competent national jurisdictions in order to allow the Tribunal achieve its current objective of completing all first instance trial activities in 2008. Coordination must be maintained with States and international organizations contributing, as appropriate, to the strengthening of national judicial systems of the States of the former Yugoslavia, in order to facilitate the implementation of this policy.

Outputs

28. During the biennium, the following outputs will be delivered:

(a) Courtroom activities: initial appearances, status conferences, pre-trial conferences, trials, pre-appeal conferences, appeals, reviews and delivery of judgements;

(b) Decisions relating to inter alia: review and confirmation of indictments, arrest and other warrants, various pre-trial motions, motions during trial and appeal, applications for additional evidence, interlocutory appeals and reviews;

(c) Judgements in relation to trials and appeals (appeals activities are for both the International Criminal Tribunal for the Former Yugoslavia and the International Criminal Tribunal for Rwanda);

(d) Review of the Rules of Procedure and Evidence, Practice Directions and the Rules of Detention; proposal of amendments to the statute of the Tribunal to the Security Council;

(e) Reports of the President to the Security Council, as requested by a Trial Chamber or the Prosecutor, as to non-compliance by States with orders of the Tribunal;

(f) Annual report to the General Assembly and the Security Council; requests for international assistance to States;

(g) Press releases on matters of importance to the Tribunal as a whole;

(h) Special events: hosting of visiting dignitaries, usually at the ambassador or foreign minister level, and heads of State; establishing and maintaining high-level contacts with Governments of Member States to facilitate and improve cooperation with the Tribunal; and swearing in of new judges;

(i) Non-governmental organizations: requesting of non-governmental organizations and others to submit amicus curiae briefs on issues of general importance under consideration by the Chambers;

(j) Participation in activities within the United Nations system: annual statement by the President to the General Assembly, participation in meetings concerning the role of the Tribunal within the United Nations system, cooperation with the International Criminal Tribunal for Rwanda and participation in discussions concerning other international judicial entities;

(k) Liaison with the Office of the High Representative and the State Prosecutor of Bosnia and Herzegovina in relation to the referral of cases.

Table 4
Resource requirements

Category	Resources (thousands of United States dollars)		Posts	
	2002-2003	2004-2005 (before recosting)	2002-2003	2004-2005
Assessed budget				
Non-post	8 776.2	9 000.4	-	-
Total	**8 776.2**	**9 000.4**	-	-

29. Non-post resources in the amount of $9,000,400, reflecting an increase of $224,200, will provide compensation for the 23 judges, hiring of consultants and travel resources for the judges. The increase is mainly due to the anticipated additional rotation of permanent and ad litem judges during the biennium, resulting in increased requirements for common costs. The cost of the remaining two judges is included in the budget for the International Criminal Tribunal for Rwanda.

B. Office of the Prosecutor

30. The Office of the Prosecutor has the dual mandate of investigating and prosecuting persons responsible for serious violations of international humanitarian law committed in the territory of the former Yugoslavia since 1991. The objectives of the Office are to undertake investigations into alleged criminal activities of those persons most responsible for atrocities that occurred during the years of the conflict in the former Yugoslavia and to prosecute those persons before the Chambers of the Tribunal. In both mandates, the Office is committed to the highest standards of professionalism and impartiality.

31. During the biennium 2002-2003, the involvement of the Office of the Prosecutor in trial, pre-trial and appellate work has continued unabated due to the use of ad litem judges. Throughout most of the biennium, there have been six trials ongoing before the trial chambers on a daily basis.

32. During the biennium until March 2003, the Prosecutor has been engaged in prosecuting seven trials (Bosanski Samac; Brdanin/Talić; Tuta/Štela; Galić; Vasiljević; Stakić; and Milošević) involving 12 accused. One of the accused entered a plea of guilty during the course of trial (Milan Simic (Bosanski Samac case)). In addition, Mrs. Biljiana Plavsic entered a plea of guilty to reduced charges and was sentenced in February 2003. For the remainder of 2003, it is anticipated that a minimum of 3 additional trials will commence (Krajisnik; Nikolic; Obrenovic & Ors) involving 6 accused. Pre-trial activity will continue in at least 16 cases (Ademi; Hadzihasanovic & Ors; Halilovic; Strugar & Jokic; Banovic & Ors; Ljubicic; Ojdanic & Sainovic; Mrksic; Martic; Cesic; Mrdja; Deronjic; Stankovic; Limaj & Ors; Seselj; Oric) involving 25 accused. Finally, the Office was involved in 8 post-judgement appeals (Čelebići; Blaskic; Kordic/Cerkez; Kunarac; Kvocka & Ors; Krnojelic; Krstic; and Vasiljevic), involving 17 accused.

33. The Prosecutor undertook a review of all investigations in October 2002, with a view to bringing them to the indictment stage by the end of 2004. Following the

review, it was determined that there would be two lists of priorities. The "A" list would reflect the most serious crimes and the highest level perpetrators and the "B" list, comprised of lower-level suspects, would be addressed only if there was time and sufficient resources to carry out the work. As at April 2003, the "A" list contained 14 investigations, involving 37 suspects. It is intended that the remaining investigations will be brought to the indictment stage by the end of 2004. Between January 2002 and April 2003, the Prosecutor submitted eight indictments for confirmation by the Chambers.

34. The completion strategy will entail tasks not previously foreseen. In their statements to the General Assembly and the Security Council, the President and the Prosecutor have indicated that some cases will be turned over to Bosnia and Herzegovina under rule 11 bis (post indictment). It is now contemplated that other cases which were investigated but which have not been brought to the indictment stage, will also be handed over to authorities in Bosnia and Herzegovina. The preparation of both types of cases will entail significant work for the Office.

35. The referral of cases under rule 11 bis and the transfer of "unfinished" cases (pre-indictment) to either the War Crimes Division of the newly established State Court in Bosnia and Herzegovina or to local prosecution services in Bosnia and Herzegovina is a continuing topic of discussion, as the referrals are dependent on a well-functioning and independent judiciary. In both instances, work on the part of investigators, analysts, lawyers and support staff necessary to prepare such materials will be significant. In order to meet this challenge, the Office proposes to change the orientation and functions of the Assessment Team and to provide it with the necessary resources to carry out these transitional tasks through redeployment of posts. The Assessment Team will be renamed the Transition Team and will become the focal point within the Office for the practical implementation of that part of the completion strategy.

36. For the biennium 2004-2005, the Office of the Prosecutor will embark on meeting the proposed deadline of 2004 for the completion of investigations up to the indictment stage and thereafter concentrate on the preparation and prosecution of trials and appeals. Consequently, the Investigations Division will be reorganized in 2005 with the redeployment of 18 posts to other priority areas and the abolition of 43 posts, for an overall reduction of 61 posts within the Division. The Financial Tracing Unit and the Forensics Unit will become redundant and the field offices in Skopje and Pristina will be closed by the end of 2004.

Table 5
Objectives for the biennium, expected accomplishments and indicators of achievement

Objective: To investigate and prosecute in a timely and fair manner persons responsible for serious violations of international humanitarian law and ensure that the requirements of the Security Council are fulfilled with regard to implementation of the completion strategy and to position the Office for the transfer of criminal cases against accused persons to the national courts of Bosnia and Herzegovina.

Expected accomplishments	*Indicators of achievement*
(a) Effective management and implementation of the completion strategy	(a) Number of indictments completed within the stipulated time frame *Performance measures*: 2002-2003 estimate: 14 2004-2005 target: 12
(b) Gradual transfer of cases to national courts	(b) Number of cases transferred to national courts *Performance measures*: 2002-2003 estimate: 0 2004-2005 target: 24
(c) Conducting six trials concurrently	(c) (i) Number of ongoing trials *Performance measures*: 2002-2003 estimate: 6 concurrently 2004-2005 target: 6 concurrently (ii) Number of trials completed *Performance measures*: 2002-2003 estimate: 12 2004-2005 target: 12
(d) Enhanced readiness of cases at pre-trial litigation	(d) (i) Number of cases in pre-trial litigation *Performance measures*: 2002-2003 estimate: 18 2004-2005 target: 20 (ii) Percentage of deadlines met without extensions *Performance measures*: 2002-2003 estimate: 85 per cent 2004-2005 target: 100 per cent
(e) Completion of all ongoing investigations by 31 December 2004	(e) Number of pending investigations *Performance measures*: 2002-2003 estimate: 17 2004 target: 0

External factors

37. The cooperation of the States of the former Yugoslavia in the arrest and transfer of indicted persons to The Hague and in the provision of information; the functioning of an independent judiciary in Bosnia and Herzegovina for the referral of cases; and delays in the proceedings for reasons beyond the Tribunal's control, such as illness of the accused, unforeseen disclosure of material, requests for replacement of defence counsel, requests for review of cases already tried, other motions affecting the proceedings and the availability of witnesses to certify statements and provide testimony.

Outputs

38. During the biennium, the following outputs will be delivered:

(a) Investigative outputs: witness statements, expert witness statements, summaries of witness interviews, witness schedules, protective measures for witnesses; reports of on-site investigations; reports on military and civilian political structures and events, arrests of fugitives, intelligence related to suspects and fugitives and on missions; evidence collection; reports generated through computer searches of evidence collection for documents relevant to investigations, trials and appeals and reports generated by computer searches for purposes of disclosure under different rules; demographic reports and maps; requests for assistance; witness binders; briefs of evidence for submission of indictments; unofficial translations and English summaries of documents written in Bosnian/Croatian/Serbian; indictment reviews; limited project-based exhumation work; and training;

(b) Prosecution outputs: filings related to the prosecution of cases and appeals including: indictments, amended indictments, motions, responses to defence motions, witness statements, opening briefs, closing briefs, sentencing briefs, appeals on the merits, interlocutory appeals, plea agreements, miscellaneous applications for orders from judges or trial chambers, including applications for subpoenas, search warrants, the detention of suspects and the transmission of arrest warrants;

(c) Outputs related to trial preparation: exhibits, witness summaries, extensive searches for relevant material to be disclosed to the defence; training courses including induction, legal issues, advocacy; and legal opinions on issues of international law;

(d) Information management outputs: indices of evidentiary material and information sources, including witness statements, video and audio tapes, intelligence material submitted under rule 70, press and other relevant freely accessible material; custody, control and storage of material submitted under chain-of-custody procedures, including decontamination and preservation; software systems and modifications to computer systems, database applications for the Office of the Prosecutor, including electronic disclosure, CaseMap and Sanction software packages; and training courses for all staff;

(e) Management outputs: policy papers and directives, guidelines related to legal practice, annual reports, funding proposals, budget preparation, reports on activities of States relevant to cooperation; press releases, speeches, statements and briefings.

Table 6
Resource requirements

Category	Resources (thousands of United States dollars)		Posts	
	2002-2003	2004-2005 (before recosting)	2002-2003	2004-2005
Assessed budget				
Post	51 476.9	51 049.0	420	364
Non-post	18 284.9	16 052.6	-	-
Staff assessment	12 128.9	12 032.9	-	-
Total	**81 890.7**	**79 134.5**	**420**	**364**
Extrabudgetary	6 818.8	1 684.5	-	-

39. Resources under posts and staff assessment in the amount of $51,049,000 and $12,032,900, respectively, would provide for the continuation of 364 posts. The net reduction of $427,900 and $96,000 for posts and staff assessment, respectively, reflects the abolition of 43 posts and the outward redeployment from the Investigations Division of 13 posts to the Registry, partially offset by the provision for the delayed impact of 33 posts approved for the biennium 2002-2003.

40. Provision for non-post objects of expenditure in the amount of $16,052,600 would provide for general temporary assistance (pre-trial support, document indexing and research and analysis), overtime, mission subsistence allowance for staff posted to the field offices, expert witnesses and consultants to assist investigators in the pre-trial stage of investigations, travel of investigators and prosecutors and contractual services for ongoing training of the staff in the Office of the Prosecutor. The decrease of $2,232,300 reflects the reduced requirements, mainly for mission subsistence allowance and travel, as a result of bringing all investigations to completion by the end of 2004.

C. Registry

41. The Registry is responsible for the judicial administration of the Tribunal. It is composed of five organizational units: the Judicial Support Division, the Public Information Section, the Registry Advisory Section, the Division of Administration and the Office of Internal Oversight Services. For budgetary purposes, resources for the Office of the President continue to be included under the Registry.

42. For the biennium 2004-2005, the Registry's focus will be on providing administrative and logistical support to the Chambers and the Office of the Prosecutor in the implementation of the completion strategy, the two main objectives of which are: (a) the expeditious and fair trials of top-level accused and (b) the transfer of mid and lower-level cases to the State Court of Bosnia and Herzegovina.

43. With regard to the first objective, the Registry will continue to support and facilitate the simultaneous conduct of six trials and appeals. The capacity of the Registry will continue to be fully utilized with all work units dedicated to the principal goal of trial activity. In addition, the Registry will undertake a number of

concrete internal measures aimed at reducing the length of trials, such as: (a) the strengthening of the Chambers Legal Support Section, (b) the introduction of the Judicial Database and (c) the establishment of a Document Control Unit.

44. In support of the second objective, the Registrar will continue to play an active role in facilitating the referral of cases to national courts, including continuing contacts and consultations with the Office of the High Representative and support to the Office of the President and the Office of the Prosecutor. Furthermore, the Registry's presence in the field will be strengthened through the establishment of two liaison officer posts in Belgrade and Sarajevo.

45. The provision of services will be expected beyond normal working hours, particularly those directly supporting the court proceedings. Programme managers will be expected to maximize the effectiveness and efficiency of their respective services, sustain even greater flexibility and apply prioritization and proactive strategies in order to reach these objectives.

Table 7
Objectives for the biennium, expected accomplishments and indicators of achievement

Objective: The efficient administration and servicing of the Tribunal by the management of judicial, administrative and legal support to the Chambers, the Office of the Prosecutor and, in a limited fashion, the defence, in line with the statute of the Tribunal, the Rules of Procedure and Evidence, United Nations Regulations and Rules and the Tribunal's completion strategy.

Expected accomplishments	*Indicators of achievement*
(a) Timely implementation of formal actions taken in accordance with the agreed upon completion strategy	(a) Percentage of actions completed on time *Performance measures*: 2002-2003 estimate: 95 per cent 2004-2005 target: 95 per cent
(b) Increased public awareness of the activities of the Tribunal	(b) Number of visitors to the Tribunal's web site *Performance measures*: 2000-2001: 3,800,000 hits 2002-2003 estimate: 19,000,000 hits 2004-2005 target: 27,500,000 hits
(c) Improved dissemination of information in the Bosnian, Croatian and Serb languages (Note: Bosnian, Croatian and Serb is used by the Tribunal as one court language for the proceedings)	(c) Reduction in the number of days between receipt and distribution of material *Performance measures*: 2000-2001: 21 days 2002-2003 estimate: 7 to 14 days 2004-2005 target: 1 to 3 days

(d) Clients' needs for sound, comprehensive and timely advice on legal and related policy matters met	(d) (i) International agreements negotiated and contracts advised upon *Performance measures*: 2000-2001: 82 2002-2003 estimate: 105 2004-2005 target: 105 (ii) Administrative, host country statute and Rules matters advised upon *Performance measures*: 2000-2001: 71 2002-2003 estimate: 79 2004-2005 target: 120
(e) Effective legal support to judges provided	(e) Number of timely oral and written decisions and judgements *Performance measures*: 2000-2001: 3,545 2002-2003 estimate: 3,800 2004-2005 target: 4,150
(f) Successful compliance with the Tribunal's legal aid system	(f) Reduction in number of cases where supplemental payment is required in order to ensure fair trial *Performance measures*: 2000-2001: 14 cases 2002-2003 estimate: 8 cases 2004-2005 target: 2 cases
(g) Improvement in the judicial support services provided to the Chambers, the Office of the Prosecutor and the defence counsel	(g) Increase in level of client satisfaction *Performance measures*: 2000-2001: Not available 2002-2003 estimate: 60 per cent 2004-2005 target: 85 per cent
(h) Increased effectiveness of administrative services	(h) Degree of satisfaction expressed by recipients of various administrative services *Performance measures*: 2002-2003 estimate: to be determined 2004-2005 estimate: 95 per cent

Outputs

46. During the biennium, the following outputs will be delivered:

(a) Victims and Witnesses Section: provision of safe transportation of witnesses from their residence to The Hague; liaison with States for exit and entry permits, travel documents, safe-conduct agreements and visas for pre-trial and post-trial protection; provision of support services for temporary and permanent relocation of witnesses; liaison with host Governments for protection, safe accommodation and transportation of witnesses during trials; and implementation of the Tribunal's policies regarding the reimbursement of lost earnings;

(b) Defence counsel services: provision of access to legal assistance for suspects and accused persons; revision of claims of indigence from suspects and accused persons; and implementation of the directive on assignment of defence counsel and legal aid practices;

(c) Court management: implementation of procedures related to the confirmation, amendment or withdrawal of indictments, the issuing of arrest warrants, addressing of cases of failure to execute a warrant, the appearance of the accused, detention on remand and provisional release and procedures to obtain depositions; organization and scheduling of trials and other hearings, contempt of court cases and procedures relating to amici curiae, summons of witnesses and experts, record-keeping and procedures for the restitution of property in connection with compensation to victims; and procedures relating to appellate, review proceedings, pardons and commutation of sentences;

(d) Registry Advisory Section: negotiation of international agreements on the enforcement of sentences and relocation of witnesses; liaison with the host country on privileges and immunities of judges and staff; drafting of policy papers, directives and guidelines related to legal practice;

(e) Detention facility management: provision of a secure detention facility for detainees; implementation of the Tribunal's rules of detention and remand programme with regard to personal and official visits, the scheduling of exercise periods and provision of meals, scrutinization of incoming and outgoing phone calls and mail, as appropriate; scheduling of duties of detention guards provided by the host Government; and cooperation with the host authorities to ensure that the detention facilities of the Tribunal are provided in accordance with existing agreements and with non-governmental organizations monitoring such facilities;

(f) Publications: publication of the annual *Yearbook* of the Tribunal, the basic documents of the Tribunal and transcripts of trials and decisions;

(g) Electronic, audio and video issuances: production and broadcast (in electronic format) of trial exhibits within the courts; broadcasting of time-delayed video of Tribunal proceedings to public areas of the Tribunal and real-time audio of Tribunal proceedings to the public gallery of the courtroom in English, French and Bosnian/Croatian/Serbian;

(h) Booklets, pamphlets and fact sheets: publication of the monthly bulletin of Tribunal activities;

(i) Press releases: issuance of press releases to the local, national and international press regarding trial activities;

(j) Library services: provision of library services regarding international and national law relevant to the operations of the Tribunal for the use of judges, staff and defence counsel; provision of online information services to assist staff, in particular the legal officers and judges, with legal research and greater access to bibliographic information;

(k) Conference and language support: provision of simultaneous interpretation for all court hearings into and from English, French and Bosnian/Croatian/Serbian, and during interviews of victims and witnesses; translation from and into English, French and Bosnian/Croatian/Serbian for the Registry, the courts and the Office of the Prosecutor; transcripts of court proceedings in English and French for every hearing in the courtroom and the judges' plenary meetings;

(l) Administrative support: processing of financial documents; preparation of the proposed programme budget for the biennium 2006-2007 and annual performance reports for the biennium 2004-2005; exercising of budgetary control and post management in respect of assessed budget and extrabudgetary resources; formulation of draft administrative responses to external and internal oversight bodies; screening of applications for vacant posts; implementation of staff development and training programmes; making of travel arrangements and issuance of tickets and vouchers for judges, staff members, witnesses and other persons; undertaking of property management and inventory control; implementation, operation and maintenance of the information technology infrastructure; purchasing and contracting of goods and services; and provision of a safe and secure environment for all VIPs, staff, visitors and detainees.

Table 8
Resource requirements

	Resources (thousands of United States dollars)		*Posts*	
Category	*2002-2003*	*2004-2005 (before recosting)*	*2002-2003*	*2004-2005*
Assessed budget				
Post	64 306.0	68 399.9	638	654
Non-post	93 111.0	90 491.6	-	-
Staff assessment	14 569.8	15 256.7	-	-
Total	**171 986.8**	**174 148.2**	**638**	**654**
Extrabudgetary	5 736.3	5 567.7	18	18

47. The resource requirements of $174,148,200 provide for the continuation of 654 posts and various non-post requirements. The increase under posts ($4,093,900) and staff assessment ($686,900) reflects the inward redeployment of 13 posts from the Investigations Division, provision for the delayed impact of 57 posts approved for the biennium 2002-2003 and the conversion of three posts under oversight services to temporary posts, which were funded from temporary assistance resources. The decrease in non-post requirements ($2,619,400) is due to reduced requirements, mainly under mission subsistence allowance payable to security staff in the field, travel of staff, supplies and furniture and equipment.

Table 9
Summary of follow-up action taken to implement relevant recommendations of the oversight bodies and the Advisory Committee on Administrative and Budgetary Questions

Brief description of the recommendation	*Action taken to implement the recommendation*
Advisory Committee on Administrative and Budgetary Questions (A/56/665)	
The Committee reiterated its view that the Tribunal should fill the vacant posts as rapidly as possible (para. 19).	**Implemented**. The Tribunal is continuing its efforts to fill posts as expeditiously as possible. These efforts are reflected in the Tribunal's current low vacancy rate.
With regard to extrajudicial activities of judges that affected proceedings (i. e., travel to seminars, public relations activities, etc.), on the basis of testimony by representatives of the Secretary-General and of the Tribunal, the Advisory Committee reiterated its view that the judicial activities at The Hague should have priority over public relations activities and attendance at external meetings. The Committee requested that information on those activities of the judges be included in the next financial and programme performance report (para. 23).	The President of the Tribunal has enacted a policy whereby any extrajudicial travel must be reported in advance, with a view to avoiding any disruption to the trial schedule. While attendance at seminars and conferences related to the role of the Tribunal plays an important advocacy role, judicial activities in The Hague have absolute priority. Attendance at external meetings is kept to a minimum and takes place only when it has been ascertained that there would be no negative impact on trial activity. The Tribunal will submit the required performance report as requested.
(A/57/439)	
The Committee recommended that the two Tribunals exchange experience and lessons learned from the procedures they had established to manage and control the legal aid system (para. 22).	**Implemented**. There is regular exchange of information and expertise between the Tribunals on this and a number of other issues of mutual concern.
The Committee recommended that, if it was considered useful, the two Tribunals have recourse to outside expertise, with a view to setting appropriate simple and practical criteria and guidelines on the matter (para. 23).	The Tribunal has increased the regime of verification and investigation of the financial means of all accused requesting full or partial legal aid.
(A/57/593)	
Information should be provided on productivity, including savings, if any, from the implementation of control and monitoring measures that have been introduced recently to improve the management of the legal aid programme of the Tribunal (para. 28).	The Tribunal will be submitting the report on the reform of the legal aid system to the General Assembly at its fifty-eighth session.

Brief description of the recommendation	*Action taken to implement the recommendation*
The Committee requested that, in the future, information be also provided on the number of interns and their use along the lines set out in paragraph 3 (h) of annex II (para. 30).	The Tribunal will ensure that the information on interns is included in the requested format.
The Committee requested that the Secretary-General provide detailed information on the potential financial obligations of the United Nations for the enforcement of sentences with regard to transferred cases, in the context of the next estimates for the Tribunal (para. 36).	The judicial processes before the Tribunal and national courts are separate. While the Tribunal may refer a case to a local court, upon referral the case enters into the sphere of responsibility of the local court. Consequently, it would be the local court that would, in the framework of enforcement of sentences of the respective State, be charged with committing a convicted person to a prison in that State. Such responsibilities and arrangements would not have any potential financial obligations for the Tribunal.
Recommendations of the Board of Auditors (A/57/5/Add.12)	
Improve the monitoring of commitments and consider an alternative solution to Tribunal directive 1/94, articles 23 to 25, with a view to replacing the present hourly rate system for counsel with a lump-sum or flat-rate approach for legal aid payments (para. 23).	Effective 1 January 2001, fixed ceilings were imposed on defence fees for pre-trial and appeals. At the same time, cases were grouped into three difficulty levels with allotments according to each level. At their July 2002 plenary meeting, the judges adopted the proposal put forward by the Registry to extend the payment system with fixed ceilings from the pre-trial and appeals phases also to the trial phase.
Comply with the financial rules relating to the proper custody of non-expendable equipment and carry out regular physical checks on its assets, if need be, in conjunction with other United Nations field teams (para. 25).	**Implemented**. A full physical inventory of the Tribunal and its field locations has been undertaken. Furthermore, a regular schedule for future inventories has been established.
Seek the Security Council's endorsement of the completion strategy, with a view to promptly implementing it (para. 32).	**Implemented**. The Tribunal presented its completion strategy to the Security Council, which endorsed the strategy in broad terms, in the statement of the President of the Council of 23 July 2002 (S/PRST/2002/21).

Brief description of the recommendation	*Action taken to implement the recommendation*
Formulate working definitions of such terms as "indigence" and "sufficient means"; establish clear and quantitative criteria to determine whether a suspect or accused person qualifies or partly qualifies for legal aid, including the determination of a financial threshold; and develop a formula to determine the contributions to be made by the persons who qualify for partial legal aid (para. 54).	**Implemented**. The standard of indigence has been reviewed and been a subject of discussion at the judges' plenary in July 2002. The Registry has developed a financial formula, taking into account the income and assets of the accused, their expenses for dependants and the costs and duration of their requirement for legal representation, for calculating their eventual contribution to their own defence.
Designate at random the counsel to be paid by the Tribunal from a list of available lawyers established by the Registrar's office (para. 62).	**Under way**. While this would mark a sharp change in practice, the Registry of the Tribunal supports such an approach and finds it in accordance with international legal guarantees for criminal defendants. The Registry intends to submit a proposal to the judges for a respective amendment of the Rules of Procedure and Evidence in the second half of 2003. Furthermore, in view of the establishment of the Association of Defence Counsel Practising before the Tribunal (officially recognized by the Registrar in October 2002), defence counsel wishing to appear before the Tribunal shall become members of the Association under rule 44 as amended at the July 2002 plenary. The membership requirements of the Association are the same as those of the so-called "Registry Rule 45-list".
Clarify the criteria for the content of invoices and the evaluation of the reasonableness of the accounts of defence teams, and consider putting a per-trial ceiling on legal aid (para. 66).	The judges adopted at the July 2002 plenary meeting the proposal put forward by the Registry to further adjust the payment system for the trial phase and in general. The judges have approved a system whereby the Registrar will assess the amount of fees available to the defence for trial after consulting the respective chamber, at the beginning of a phase, pre-trial, trial or appeal. Hence, also during the trial phase, a lump-sum system will apply for all work of counsel, whether hearing or preparation.

Brief description of the recommendation	*Action taken to implement the recommendation*
Complete, as a matter of urgency, the implementation of the code of professional conduct for defence lawyers and the rules for their enforcement, to be included in the Rules of Procedure and Evidence (para. 73 (a)).	**Implemented**. Having received the consent from a working group of judges and defence counsel to his draft, the Registrar has promulgated the amended Code subsequent to approval by the judges at the July 2002 plenary meeting. The explicit prohibition of fee splitting and the establishment of detailed disciplinary proceedings with the participation of the Registrar are two of the main novelties of this legal text.
Render illegal and effectively prohibit overbilling and frivolous practices by counsel, fee-splitting and gift-giving between counsel and their clients or any other person directly or indirectly related to the accused, as well as the recruitment of relatives by counsel (para. 73 (b)).	**Implemented**. The explicit prohibition of fee splitting forms part of the new Code of Conduct, which also relates to the exchange of gifts. The prohibition of recruitment of relatives or friends of accused, and limitations for recruiting relatives or friends of counsel into a defence team is regulated by new article 28 of the Directive on Assignment of Defence Counsel, as amended in July 2002.
Create a bar acting in accordance with international best practices on legal ethics, with disciplinary power in case of violation of the code of professional conduct and adequate safeguards to enable the Tribunal to be a party to disciplinary proceedings and to enforce sanctions without undue delay (para. 73 (c)).	**Implemented**. The Association of Defence Counsel was founded by defence attorneys under Dutch law, and recognized by the Tribunal in October 2002.
Include in the Tribunal's staff regulations and rules a prohibition on the recruitment of staff members, directly or indirectly, by defendants for a given number of years after separation from Tribunal service, and add a similar prohibition in rule 44 of the Rules of Procedure and Evidence on counsel qualifications (para. 82).	**Implemented**. Such a provision is included in the Code of Conduct of the Tribunal that sets out the conditions under which a counsel can assist a defendant in the light of conflict of interest issues.
Review with United Nations Headquarters the rules applying to United Nations officials drawing simultaneously United Nations salaries for active duty and United Nations pensions, and take steps towards a prompt clarification to that effect (para. 88).	**Implemented**. The Secretary-General's report (A/C.5/56/14) was submitted to the Advisory Committee. The matter was considered by the Committee (A/56/7/Add.2) and was addressed by the General Assembly, in its resolution 56/285.

Table 10
Definitions

An *objective* in programme budgeting refers to an overall desired achievement involving a process of change and aimed at meeting certain needs of identified end-users within a given period of time.

An *expected accomplishment* is a desired outcome involving benefits to end-users, expressed as a quantitative or qualitative standard, value or rate. Accomplishments are the direct consequence or effect of the generation of outputs and lead to the fulfilment of a certain objective.

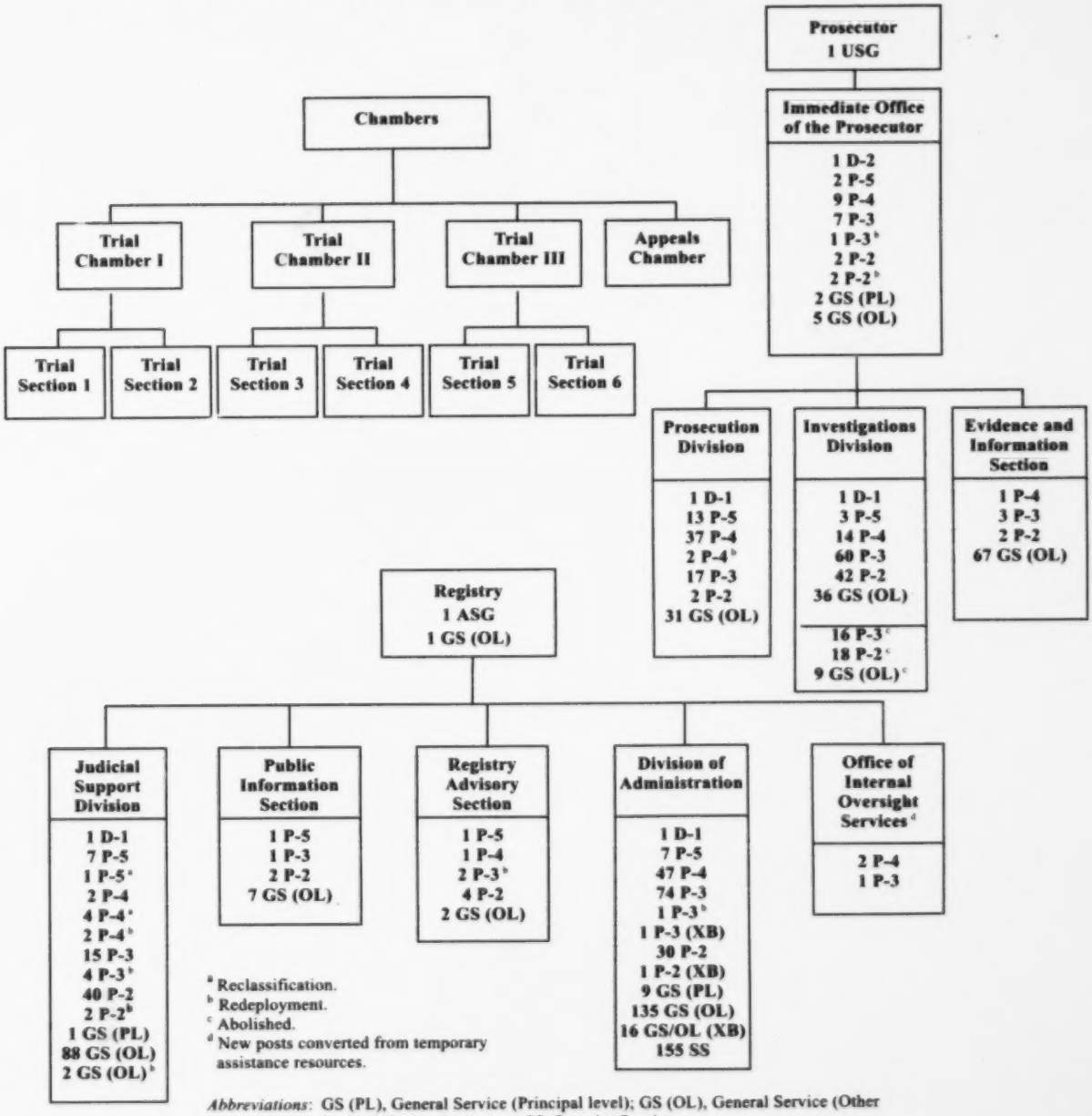
Indicators of achievement are used to measure whether and/or the extent to which the objectives and/or expected accomplishments have been achieved. Indicators correspond either directly or indirectly to the objective or the expected accomplishment for which they are used to measure performance.

External factors are events and/or conditions that are beyond the control of those responsible for an activity but that have an influence on the success or failure of the activity. They may be anticipated in the form of assumptions or they may be unanticipated.

Outputs are final products or services delivered by a programme or subprogramme to end-users, such as reports, publications, training, servicing of meetings, or advisory, editorial, translation or security services, which an activity is expected to produce in order to achieve its objectives.

Source: ST/SGB/2000/8, annex.

International Criminal Tribunal for the Former Yugoslavia
Organizational structure and post distribution



[a] Reclassification.
[b] Redeployment.
[c] Abolished.
[d] New posts converted from temporary assistance resources.

Abbreviations: GS (PL), General Service (Principal level); GS (OL), General Service (Other level); XB, extrabudgetary; SS, Security Service.

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Towards global partnerships

Enhanced cooperation between the United Nations and all relevant partners, in particular the private sector

Report of the Secretary-General

Summary

In recent years partnerships between the United Nations and non-State actors, including businesses, foundations and other private-sector organizations, have played an increasingly important role. Partnerships take many forms, ranging from time-bound project partnerships involving a small number of actors, to global initiatives involving a multitude of actors. Partnerships today are an integral part of the work of many United Nations organizations and of particular relevance to those who have the on-the-ground capacities to deliver. Partnerships have the potential to complement the Organization's efforts to achieve its objectives, while at the same time contributing to its renewal by introducing new methods of work. United Nations organizations are still learning how best to utilize the potential benefits of partnerships. Efforts are under way to scale up promising approaches and to learn from experience gained so far. To succeed in this undertaking, Governments and United Nations organizations will need to continue to give encouragement and support to promising approaches and initiatives.

* A/58/150.

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I. Introduction

1. The present report is submitted in compliance with General Assembly resolution 56/76 of 11 December 2001, in which the Assembly requested the Secretary General to submit a report to it at its fifty-eighth session on the implementation of the proposals of modalities for enhanced cooperation between the United Nations and all relevant partners, in particular the private sector.

2. The report of the Secretary-General on cooperation between the United Nations and all relevant partners, in particular the private sector (A/56/323), provided a comprehensive overview of partnership modalities and experiences in the United Nations system. The present report draws and builds upon it and focuses on the United Nations. It reviews some recent developments, including the International Conference on Financing for Development and the World Summit on Sustainable Development, to illustrate the variety of partnership arrangements between United Nations entities and the non-State sector, and tries to derive lessons and formulate proposals for meeting the challenges ahead.

3. Increasingly, the international community sees the usefulness of developing partnerships between the United Nations, Governments and non-State actors to help achieve the objectives of the Organization. The focus on partnerships recognizes that bringing the strengths, capacities, approaches, skills and methods of different actors together can create powerful synergies and overcome many of the barriers to sustainable development.

4. In order to increase the ability of the United Nations to pursue the priorities identified in the Millennium Declaration, the General Assembly resolved in the Declaration, inter alia, to give greater opportunities to the private sector, non-governmental organizations (NGOs) and civil society, in general, to contribute to the realization of the Organization's goals and programmes.

5. Subsequently, the General Assembly, in its resolution 56/76, stressed that efforts to meet the challenges of globalization could benefit from enhanced cooperation between the United Nations and all relevant partners, in particular the private sector, in order to ensure that globalization becomes a positive force for all. The resolution underlined the fact that cooperation between the United Nations and all relevant partners, in particular the private sector, shall serve the purposes and principles embodied in the Charter of the United Nations and make concrete contributions to the realization of the goals contained in the Millennium Declaration and in the outcomes of major United Nations conferences and summits and their reviews, in particular in the area of development and the eradication of poverty. It stressed the need for international cooperation to strengthen the participation of enterprises, especially small and medium-scale enterprises, business associations, foundations and NGOs from developing countries and countries with economies in transition, in particular in partnerships with the United Nations system.

6. In its resolution 57/300, the General Assembly decided that the creation of a partnership office as part of the effort to enhance cooperation in the work of the Organization with the private sector, taking into account the outcome of the major United Nations conferences and summits, should be subject to its resolutions 55/215 of 21 December 2000 and 56/76.

7. The financial needs of the development process, particularly at a time when development funds have lagged behind needs, necessitate a new relationship between Governments and the private sector, which is the primary source of foreign direct investment. Consequently, engagement between Governments and the business sector was a prominent feature of the International Conference on Financing for Development, held in Monterrey, Mexico, in March 2002.

8. Further impetus was provided by the development of multistakeholder partnerships as a key innovation of the World Summit on Sustainable Development. Such partnerships have opened new opportunities and a more inclusive means for the pursuit of agreed objectives. However, the Summit stressed that partnerships are not a substitute for government responsibilities and commitments, but are rather intended to strengthen implementation by involving those who can make a contribution.

II. Definition, concepts and modalities

A. Definition

9. Partnerships are commonly defined as voluntary and collaborative relationships between various parties, both State and non-State, in which all participants agree to work together to achieve a common purpose or undertake a specific task and to share risks, responsibilities, resources, competencies and benefits. The present report deals with partnerships in which the United Nations has an interest, either as a partner or in the promotion of partnerships that contribute to the objectives of the United Nations.

10. In a successful partnership, all participants contribute and gain something. They all have a stake in the process and the outcome despite the differences in their individual inputs and interests. Agreements between partners may be formal or informal, or a combination of both, but there should be a clear understanding of the objective, the role and the responsibilities of each participant and the commonality, or potential divergence, of their interests.

B. Concepts and modalities

11. There can be various kinds of partnership between the United Nations and private sector organizations. They were described in detail in the aforementioned report of the Secretary-General (A/56/323) and are briefly recapitulated here.

12. Partnerships between the United Nations and non-State actors work on many levels, address many different issues and serve different purposes. They range from participation in the intergovernmental process, as in the tripartite structure of the International Labour Organization, to the consultative status of business associations with the Economic and Social Council, to more recent arrangements such as the Global Environment Facility, the Information and Communication Technology Task Force, global initiatives on specific health issues and the Global Compact.

13. Just as different partnerships serve different ends, their activities can range from global-level, multistakeholder, multi-issue initiatives to local projects involving only one private sector organization. They could be involved in short-term

humanitarian work, such as emergency response, or long-term development and institution-building. Some may have a holistic approach to social, environmental and economic issues; others could be focused on special issues or interest areas. Some United Nations entities may work with a very specific group of private sector actors, while others may have relationships with a wide range of organizations.

14. Most partnership initiatives have one or more of the following purposes:

(a) *Policy dialogue*. Non-State actors' formal or informal participation in intergovernmental deliberations, institutional governance, or normative and standard-setting structures within the United Nations system; or policy dialogue with United Nations entities outside official intergovernmental processes through global policy networks and voluntary initiatives;

(b) *Advocacy*. Cooperation between the United Nations and non-State actors to raise public awareness of and support for United Nations goals and programmes through joint communications, product-licensing and cause-related or social-marketing;

(c) *Mobilizing private funds*. Cooperation to mobilize public and private capital for United Nations programmes and projects or for development, including philanthropic funds or investment capital;

(d) *Information and learning*. Facilitating information-sharing, research and joint learning between the United Nations, Governments and/or non-State actors for building and disseminating knowledge and know-how on critical development issues and methodologies;

(e) *Operational delivery*. Collaborating on joint programme and project design, implementation and evaluation, and mobilization of financial, in-kind, technical or managerial resources;

(f) *Partnership promotion*. Actions by United Nations organizations to encourage, foster and facilitate the development of partnerships that help to achieve United Nations objectives.

15. Many successful partnerships between the United Nations and non-State actors are focused on only one type of activity. Others, such as some of the partnership initiatives associated with the World Summit on Sustainable Development, combine several activities. The latter, more strategic approach enables partnerships to increase the impact and sustainability of their work by simultaneously developing effective policy frameworks, mobilizing funding and developing synergistic multistakeholder strategies for operational delivery on the ground.

III. Recent developments

16. United Nations organizations are building up their internal capacities to develop partnerships and continue to experiment with new approaches. Indeed, partnership approaches are increasingly becoming an integral part of the United Nations activities. For example, the United Nations Children's Fund (UNICEF), the United Nations Environment Programme (UNEP), the United Nations Conference on Trade and Development (UNCTAD), the Department of Economic and Social Affairs, the Office for the Coordination of Humanitarian Affairs as well as entities such as the United Nations Staff College and the United Nations Institute for

Training and Research (UNITAR) have significantly enhanced their capacities to engage in partnerships. Partnerships have also increasingly become a major feature of United Nations conferences.

17. The following section highlights some of the recent developments. It is a selective and illustrative presentation of trends and is not intended to capture the entire range of activities under way.

A. World Summit on Sustainable Development

18. Voluntary, non-negotiated partnerships were a key innovation of the World Summit on Sustainable Development. Over 200 partnerships were launched during the Summit process by a wide variety of stakeholders.

19. Such partnerships have a special character and are specifically linked to the Johannesburg Plan of Implementation, Agenda 21 and the Programme for the Further Implementation of Agenda 21. They are therefore an important part of the follow-up process. Recognizing their possible contribution to the agreed objectives, the Plan of Implementation called upon international institutions to encourage partnership initiatives for implementation by all relevant actors to support the outcome of the World Summit on Sustainable Development and subsequently designated the Commission on Sustainable Development as the focal point for discussion on partnerships that promote sustainable development.

20. At its eleventh session in May 2003, the Commission stressed that partnerships in the context of the World Summit process and its follow-up should be developed and implemented in accordance with a set of agreed criteria and guidelines, taking note of the preliminary work undertaken on partnerships during the preparatory process for the Summit, including the Bali Guiding Principles and General Assembly resolution 56/76.

21. At the same session, the Commission agreed that partnerships, which are voluntary initiatives undertaken by stakeholders, including Governments, intergovernmental organizations, the private sector and NGOs, should be new and add concrete value to the implementation process. The economic, social and environmental dimensions of sustainable development should be kept in mind in their design and implementation. Partnerships should be based on predictable and sustained resources, including new resources and, where relevant, should result in transfer of technology to, and capacity-building in, developing countries.

22. The Commission called for a sectoral and geographical balance of partnerships that should be designed and implemented in a transparent and accountable manner. They should be publicly announced and those involved should exchange information with Governments and other stakeholders. The Commission also agreed that the involvement of international institutions and United Nations funds, programmes and agencies in partnerships should conform to the agreed mandates arrived at through the intergovernmental process and should not lead to the diversion of resources from mandated programmes.

23. The submission of partnership proposals to the Secretariat is a continuous process. There is no deadline and registration is voluntary. However, it was agreed at the eleventh session that registered partnerships should submit regular reports, preferably on a biennial basis.

24. As part of the monitoring process, the Secretariat has been requested to make information on partnerships available through a database accessible to all interested parties, including through the Commission's web site.

25. The Commission on Sustainable Development, during its biennial review sessions, will discuss the contribution of partnerships to the implementation of the intergovernmentally agreed sustainable development goals and objectives. At its eleventh session, the Commission called for activities that strengthen such partnerships, including partnership fairs (the first such fair was conducted during that session).

B. Financing for development

26. Individual businesses, as well as business organizations, were given the opportunity to be formally accredited to the Financing for Development Preparatory Committee and Conference. During the preparatory process and in the Conference, business representatives made policy proposals for discussion with Governments and international organizations. The proposals were disseminated and discussed in a report and through the organization of an International Business Forum as well as several follow-up dialogues during the Conference in Monterrey. Business leaders interacted with representatives from Governments and international organizations in those "side events" and also participated in the official ministerial and summit round tables in Monterrey.

27. Many of the proposals made by the business community during the Conference and the follow-up process called for specific public/private initiatives.

28. Since Monterrey, business representatives have been discussing those ideas among themselves and with international organizations and Governments. For example, funds have been provided by the Government of Norway for developing a prototype of the Global Clearinghouse and the Department of Economic and Social Affairs has sponsored an expert group meeting to discuss risk mitigation techniques for facilitating financing of infrastructure projects in developing countries.

29. In the follow-up to Monterrey, dialogues or "hearings" with business entities and representatives of NGOs were held in March 2003 and are also planned for 28 October 2003 (in preparation for the High-level Dialogue on Financing for Development in the General Assembly). The Financing for Development Office will also draw on expertise from the business sector, as well as NGOs and academics, in preparing reports requested by the intergovernmental processes in the financing for development follow-up.

C. United Nations Information and Communication Technology Task Force

30. The United Nations Information and Communication Technology Task Force was created by a decision of the Economic and Social Council. It is an intergovernmental body in which non-Government members, representing the private sector and NGOs, have the same decision-making power as those representing Governments. The Council's decision was taken in recognition of the vital contribution that the sector can make towards achieving the Millennium

Development Goals. The Task Force is intended to serve as a strategic tool of the United Nations system and the global community in meeting those goals. It helps in building public-private-civil society partnerships that use information and communication technology to achieve development goals and bridge the global digital divide, and make such technology available to all the world's citizens.

31. The Information and Communication Technology Task Force serves as a catalyst for coordinated actions and, from its very inception, has worked to develop collaboration with major global initiatives and events — such as the G-8 Digital Opportunity Task Force (DOT Force) and its follow-up, the Development Gateway Foundation, the World Economic Forum, the Global Business Dialogue on Electronic Commerce, the Internet Corporation for Assigned Names and Numbers (ICANN) and the Global Information Infrastructure Commission (GIIC) — and has built close relationships with key multilateral institutions and regional organizations.

32. The Task Force has made innovative use of the modalities of plenary meetings, informal consultations, discussions with stakeholders and electronic outreach to audiences across the world in order to launch a matrix of working groups and regional networks. It has established five working groups that are addressing a broad range of policy issues and have launched several initiatives in the areas of policy and governance, e-strategies, capacity-building, connectivity and access, and entrepreneurship. They are forging strategic partnerships linking the United Nations system organizations, developing countries, private industry and financing trusts and foundations, donors and other relevant stakeholders for collaboration in key priority areas.

D. Global Compact

33. In recent years there has been growing recognition in the international community of the importance of good corporate citizenship, especially for development. By working collectively with other societal actors, the private sector can contribute positively to a range of global problems, making a difference in the lives of the poor. The private sector too is beginning to recognize its responsibility to balance financial priorities with broader societal concerns.

34. The United Nations Global Compact, launched by the Secretary-General in July 2000, was created to fill a perceived void between regulatory structures and existing codes of conduct and standards, and to create a global corporate citizenship platform to imbue markets with universal principles. A voluntary initiative, the Global Compact seeks to advance good corporate citizenship. Companies work with United Nations agencies, Governments, labour and civil society to advance its nine universal principles in the areas of human rights, labour and the environment.

35. From the nearly 50 corporate leaders present at the official launch, the Global Compact had grown, by mid-2003, into an extensive international network encompassing more than 1,000 companies worldwide, several international trade unions and dozens of NGOs, academic institutions and other societal actors. The private-sector participants include large corporations as well as small and medium-scale enterprises, representing virtually all industry sectors on every continent.

36. The Global Compact includes five core United Nations agencies: the Office of the United Nations High Commissioner for Human Rights; UNEP; the International

Labour Organization; the United Nations Development Programme (UNDP); and the United Nations Industrial Development Organization (UNIDO). Many other United Nations entities, including UNCTAD, are associated with the initiative.

37. The Global Compact seeks to integrate its principles into business activities through a range of activities and engagement mechanisms, including dialogue, learning, outreach and projects. At the same time it contributes to development objectives, including the Millennium Development Goals.

38. The Global Compact's Policy Dialogue series has produced dynamic multistakeholder forums in which participants address key issues related to sustainable development and corporate citizenship. As of June 2003, four global policy dialogues had been convened: The Role of the Private Sector in Zones of Conflict (2001); Business and Sustainable Development (2002); HIV/AIDS in the Workplace (2003); and Supply Chain Management and Partnerships (2003). Outcomes have included a "Business Guide to Conflict Impact Assessment and Risk Management"; policy recommendations on transparency; an initiative to develop sustainable business in the world's least developed countries; and an agreement by international employers and labour groups to cooperate in the fight against HIV/AIDS. The most recent Global Compact Policy Dialogue on Supply Chain Management and Partnerships was attended by over 100 companies and a wide range of other stakeholders. Many examples of successful private sector partnerships with the United Nations were presented and key challenges for developing effective partnerships were discussed. The outcomes from the dialogue are reflected in the present report.

39. The Global Compact's Learning Forum stimulates the development and sharing of good practices related to the implementation of the nine principles. Annual Learning Forum meetings enable participants to share their experience in a multistakeholder context. The 2002 annual meeting of the Learning Forum which attracted 200 participants was convened in Berlin. The 2003 annual meeting is scheduled to take place in Brazil in the latter half of the year.

40. One of the key development efforts of the Global Compact relates to country outreach. As of June 2003, the Global Compact had been launched in more than 50 countries worldwide, most in the developing world, effectively creating country-level networks composed of businesses and other societal actors to advance development goals. Such networks serve to facilitate learning, promote and display partnership projects and expand the recruitment of additional companies.

41. The Global Compact has inspired a range of partnership projects on the ground in both developing and developed countries. To build up on that work, in 2003 the Global Compact and UNDP created the Project Partnership Forum, with the aim of creating a better understanding of how to implement partnership projects that involve the United Nations system and business, and to generate partnerships between the private sector, United Nations organizations and other relevant and interested parties.

42. One of the primary challenges facing the least developed countries is their inability to attract significant levels of foreign direct investment. Launched at the World Summit on Sustainable Development, the Global Compact's least developed country initiative, coordinated by UNDP, brings companies together with other stakeholders to identify business opportunities in specific countries that will be

sustainable and designed in ways to help local small and medium-scale enterprises. The involvement of such enterprises in that initiative and other Global Compact activities is crucial, as it is estimated that small and medium-scale enterprises worldwide constitute over 90 per cent of business and account for between 50 per cent and 60 per cent of employment. In many developing countries, such enterprises account for most of the employment.

43. Nearly 30 per cent of Global Compact participating companies are classified as small and medium-scale enterprises. The association of the Global Compact with UNIDO, which has the responsibility of overseeing the engagement of small and medium-scale enterprises in the developing world, is of strategic importance. As important players in the global supply chain, many such enterprises are confronting issues related to corporate citizenship, especially as increasing numbers of transnational companies seek supply-chain partners that adhere to social and environmental principles.

E. United Nations Fund for International Partnerships

44. Cooperation between the United Nations Fund for International Partnerships (UNFIP) and the United Nations Foundation entered its sixth year in March 2003. As of 31 May 2003, $513 million had been programmed for 253 projects worldwide in four areas: children's health; population and women; environment; and peace, security and human rights. UNFIP continues to solicit joint submissions from United Nations entities to strengthen the implementation of the Millennium Development Goals in support of the Secretary-General's ongoing reform efforts.

45. In addition to serving as the interface between the United Nations Foundation and the United Nations system, UNFIP provides advice to the private sector and foundations on partnership options with the United Nations family. That effort also involves suggestions on strategic ways for corporations and foundations to support the Millennium Development Goals and to mobilize additional resources for the United Nations system.

46. UNFIP also helps to develop new relationships with the private sector and other foundations in support of United Nations causes, identifying partners and organizing meetings for United Nations colleagues with companies and foundations to discuss project collaboration, financial and in-kind contributions as well as corporate talent contributions to development projects.

47. UNFIP has established ties with foundation consortiums, including the Council on Foundations, the Foundation Center, the Philanthropy Roundtable, the Global Philanthropy Forum and the European Foundation Centre. In regard to the latter, UNFIP is a member of the Programme Committee, with the primary role of providing counsel to European foundations on United Nations engagement. Alliances have been strengthened with the United States Chamber of Commerce, Africare and the Corporate Council on Africa. UNFIP works closely with the United Nations Association of the United States of America as well as its local chapters and the Business Council for the United Nations, to promote United Nations causes and engage the business community in partnerships. Furthermore, UNFIP provides guidance to organizations that aim to raise funds for United Nations causes.

F. Examples of partnership projects on the ground

48. Partnership projects — as opposed to strategic global partnerships — often involve only one or a limited number of partners, have well-defined goals and are usually time-bound. Many United Nations organizations have over the past couple of years started to experiment more systematically with partnership projects, both at headquarters and, more importantly, in the field. For example, UNDP is engaged in a large number of partnerships on the ground and is coordinating and supporting the Global Compact at the country level in its programme countries. While the scope of the present report does not permit a systematic stocktaking and assessment of such partnerships, a few recent examples are highlighted to illustrate how partnership projects can be implemented in various areas.

49. *Improving education*. A partnership between UNICEF, Itau (the second-largest bank in Brazil) and CENEPEC (a local NGO) focused on raising $2.5 million to advocate issues affecting the education of children and improve the quality of primary education. In 1994, Itau launched an Investment and Capitalization Plan to benefit Brazilian children through UNICEF. Through the alliance, best-practice training materials were developed, produced and distributed to 28,000 public primary schools, regional training sessions were facilitated and a model for after-school activities was developed and implemented. Through the UNICEF-Itau prize on education, more than 1,500 NGO projects applied for the prize and more than 30 were selected and awarded a total of $264,000. The alliance also undertook an advocacy campaign through mass media channels.

50. *Eliminating child labour*. A partnership between UNICEF, Ikea, the World Health Organization and local communities focused on the goal of allocating $450,000 to prevent child labour in the "carpet belt" state of Uttar Pradesh in northern India. The project involved working with rural communities to raise awareness of the issue and mobilize them around strategies for preventing child labour. School enrolment drives are conducted and alternative learning centres are established on a needs basis. Through the formation of self-help groups, the project also helps rural women to enhance their economic status by improving access to credit and income-generation opportunities, thus reducing debt burdens. As a result of the project, 24,000 children are now attending school and more than 6,000 women have the opportunity to contribute to the incomes of their families. Based on the success of the project, Ikea and UNICEF decided to enlarge the project to include another 300 villages in the same area, bringing to 500 the total number of villages involved in the project.

51. *Promoting youth issues*. UNICEF, Levi Strauss & Co. and MTV Asia created a partnership to provide an opportunity for young people in Asia to speak out on social issues affecting them. The "Speak Your Mind" campaign formed the basis of an "Asian Youth Charter" presented to the United Nations in New York during the special session of the General Assembly on children. The campaign supported the UNICEF objective of bringing influential media partners into the Global Movement for Children. A total of $270,000 was allocated by Levi Strauss and its Foundation to be used by UNICEF in contracting with MTV Asia for the production of documentaries based on the themes of the youth discussions.

52. *Information technology*. The Asia-Pacific Development Information Programme (APDIP) of UNDP, based in Kuala Lumpur, pioneered a partnership

with Cisco Systems in 1999 that has since expanded to the majority of the world's least developed countries. It is dedicated to creating a workforce with the skills to design, build and maintain computer networks capable of supporting national and global organizations. The Least Developed Country Initiative envisaged Cisco's Networking Academies reaching some of the world's poorest people in half the world's least developed countries by the end of 2001. In two years 3,370 students from least developed countries and 278 instructors have been provided access to industry training in 83 different Cisco Networking Academies. Academies have been established in 33 of the 49 least developed countries.

53. *Empowering local communities*. A partnership involving UNDP, the British Petroleum company and the Government of Indonesia, the Diversified Growth Strategy covers the regions of Kepala Burung and Raja Ampat in the Papuan Province, which will be directly affected by two mega-projects, Tangguh Liquefied Natural Gas (LNG) and Gag Island Nickel (a mining project). It aims to strengthen the local government and population to manage the changes stemming from the large-scale projects and to enable the local communities to absorb their impact in environmentally sound and socially beneficial ways.

54. In China, UNDP recently conducted a social impact assessment in preparation of the construction of the West-East Pipeline to ensure that social and community concerns were taken into consideration and local communities along the pipeline route derive maximum benefit from the project. UNDP collaborated with Shell, the Government, PetroChina, several universities, development institutions and local authorities.

55. *Supporting small business*. In Angola, UNDP has an agreement with Chevron-Texaco to promote sustainable economic and social growth by supporting small business development. The Angola Enterprise Programme, which was established to facilitate the partnership, will promote vocational training, small business incubation, access to credit and job creation for micro and small businesses throughout Angola.

56. *Human rights*. In Venezuela, UNDP, together with the Government, Amnesty International and Statoil, have collaborated to build capacity within the national judiciary system on issues relating to international human rights law. A group of judges and federal prosecutors have received training and will serve as trainers for their colleagues around the country.

57. *Sustainable development*. In the first major public-private partnership in Central and Eastern Europe, UNDP, together with PKN Orlen, Poland's largest oil company, is promoting corporate social responsibility and sustainable development in Plock. Representatives from civil society, business and municipal administrations will investigate ways to stimulate local economic development, improve living conditions and public safety, upgrade the city's technical infrastructure and protect its cultural heritage and environment. UNDP has already assisted over 80 municipalities to harmonize their economic and social development goals with environmental conservation. Such projects have put into practice Agenda 21, the global blueprint for sustainable development, by conducting audits based on the Agenda's guidelines.

58. "*Paperless Committee*". In 2003, the Committee on Non-Governmental Organizations became the first United Nations committee fully to employ office

automation and information technology to conduct its official work without large volumes of paper documentation. The partnership initiative, spearheaded by the NGO Section in the Division for Economic and Social Council Support and Coordination, of the Secretariat, is part of an ongoing effort to improve the effectiveness of the Committee on Non-Governmental Organizations and its working methods. The "Paperless Committee" is a partnership involving the business community and academia. A loan from the Hewlett-Packard Corporation is making available the necessary hardware, in the form of 25 laptop computers and wireless connectivity. The human resources needed to set up the programmes and assist Committee members have been provided by the Mumbai Educational Trust of Bombay. When fully operational, the "Paperless Committee" will enable users to have continuous document updates from the Chair and Secretariat, data transfers to make archiving easier, electronic messages, electronic submission of questions simultaneously, note-taking and report-writing and electronic vote-counting. In addition, the use of laptops during the sessions of the Committee will offset, in the long run, the cost of some 160 binders containing approximately 40,000 pages of documentation.

59. *Human rights*. The Regional Representative of the Office of the United Nations High Commissioner for Human Rights for the Nordic-Baltic Region approached Statoil in August 2000 for support within the framework of the Global Compact's first principle (Respect and promotion of human rights).

60. Following several months of contacts and discussion with the United Nations Secretariat, the Statoil-Office of the United Nations High Commissioner for Human Rights Partnership Agreement was signed in Stockholm in May 2001 and the first contribution of NKr 1 million (approximately $137,000) was received shortly thereafter. Statoil is supporting the Office via an annual, renewable, non-earmarked donation and is providing additional contributions in various forms of support at the field level. The Office is cooperating with Statoil through information exchange and transfer of knowledge in countries where the two organizations have operations and on issues of human rights. The Office is also involved in Statoil's annual sustainable development dialogue.

61. The agreement was renewed again both in 2002 and in 2003 with non-earmarked contributions of NKr 1 million ($137,000) each year. Statoil has expanded its support at the country level through direct dialogue between its respective country managers in Azerbaijan and a contribution of $50,000 towards the reconstruction of schools for internally displaced persons. Statoil also donated $180,000 for health and education projects in Angola for the returning refugees and internally displaced persons and another NKr 1 million ($137,000) donation is planned for a multilingual integration education project for 500,000 middle school students in 10,000 schools in the Nordic region.

62. *Eco-efficiency*. As part of its contribution to the Global Compact, the BASF company is investigating the eco-efficiency of several textile dye works in Morocco, together with UNIDO. The UNIDO mandate is to promote sustainable industrialization in association with UNEP. BASF and its partners jointly presented the project at the World Summit on Sustainable Development in Johannesburg, South Africa.

63. UNIDO, UNEP and BASF have worked together to develop a software package that uses key technical data to calculate how the eco-efficiency of various

stages in the production process can be improved. In collaboration with staff from the National Cleaner Production Centres, companies can use the software to calculate and compare the costs and environmental impact of their processes. The project demonstrates the successful integration of cutting-edge know-how in technical cooperation projects.

IV. Lessons learned

64. Partnerships are a tool to complement the Organization's efforts to achieve United Nations goals and objectives. Each agency of the system, however, makes its own unique contribution to the universal mosaic. Consequently, the cooperative arrangements that it enters into with non-State actors is determined by its particular mandate, its mode of operations and the immediate objectives it has to achieve as its contribution to the whole. There is no single model for successful partnerships between the United Nations and non-State actors. However, the experience gained from the partnerships that have been developed so far makes it possible to draw some general lessons and suggests that there may be a case for sharing such lessons among the different parts of the United Nations system in an ongoing and systematic way.

65. Entities of the United Nations system have usually entered into partnerships on an individual basis; a universal mould has not been imposed from above. They can be regarded as a grass-roots phenomenon. There has, of necessity, been much experimentation, leading to different experiences, both good and bad. In general, there has been a growth in partnerships during the past two years. There has also been some consolidation and a better understanding of their limits as well as the institutional support structures required to make them effective in helping to achieve United Nations goals.

66. One fundamental lesson that has been learned is that partnerships make an important contribution to organizational renewal. In order to maintain the interest and commitment of all participants, partnerships must prove their worth in a practical manner by the achievement of concrete results. Thus, partnerships are helping to introduce a new results-based, multistakeholder, synergistic operational paradigm that is enhancing the Organization's efficiency and its capacity to achieve its goals.

67. The fact that partnerships must meet the test of the real world is their inherent strength. It ensures that the Organization's resources will be progressively directed towards successful undertakings and thereby contribute to overall productivity and effectiveness. Unlike programmed initiatives, which depend on long-term planning, partnerships are flexible, adjustable and have a built-in methodology for self-correction.

68. Concerted efforts have been made by the Organization to ensure integrity while providing space for innovation. The Secretary-General issued United Nations-business guidelines in July 2000. Those guidelines have provided a platform for United Nations entities to develop their own more specific guidelines. Since the launch of the United Nations-business guidelines, a great deal of practical experience has been gained. Currently, a process of review is under way. Such a process is extremely important in terms of generating lessons that can be used to

update guidelines and ultimately improve the dynamics of partnerships, while securing the Organization's integrity and independence.

69. The need for sharing practical experience has long been recognized. Focal points within United Nations entities that specialize in partnerships have begun to do so. Meetings convened in 1999 and 2001 have reinforced the need and desire for practitioners throughout the United Nations system to share experience. More recently, in the fall of 2002, UNFIP and the Global Compact organized a meeting with representatives from 29 United Nations agencies and departments to discuss the accomplishments, challenges and tasks involved in furthering the Millennium Development Goals through public-private partnerships. Experience was shared, constraints were identified and future actions were discussed. It was agreed that there was a need to increase the integration of partnership-building into all key aspects of United Nations operations, especially at the country level. Innovation, creativity and acceptable risk-taking within the United Nations system should be encouraged, as should the engagement of United Nations officials with the private sector and other non-State actors in foundations, NGOs and professional associations.

70. The next meeting of United Nations system focal points, to be organized by the United Nations Educational, Scientific and Cultural Organization, is planned for early 2004. A particular focus of this upcoming meeting will be the application of partnership guidelines and practical experience gained.

71. Focal points now play the role of partnership advocates within the system. The focal point meetings have led to many internal collaborative arrangements. Some groups have identified common problems like the need for better leverage of resources and the need for capacity-building, and have worked to find optimal solutions jointly. There is now greater opportunity for learning from each other's experience.

72. The experiences of partnerships thus far have led to a number of more specific lessons learned. These lessons include:

Partnerships require support

73. Success in building partnerships depends on resources for the initial stage and the space and time to experiment. Since the outcomes are difficult to predict, justification for allocating funds for partnership processes is equally difficult. However, a successful partnership can have a far greater impact than a conventional project through increasing the efficiency of all actors and leveraging in private-sector resources.

Partnerships need to make good business sense

74. Resource mobilization and philanthropy are quite distinct from strategic partnerships. In the latter, it is the convergence of interests that defines the common basis for cooperative endeavour. For-profit enterprises are usually not in the business of philanthropy. They need a clear case as to why partnerships in support of United Nations goals make good business sense. They could have many motives for engagement, which could include image-building, safeguarding long-term investments, building future markets, improving the quality of suppliers and contributing to more stable and predictable business environments.

75. Successful fund-raising requires a particular kind of effort, quite different from building effective partnerships, where the motive is not "doing good", but rather "defining common ground for doing the right thing". Hence, different approaches and skills characterize fund-raising, on the one hand, and partnership-building on the other. Distinguishing between the two categories and developing the appropriate approach in each case is an essential element of the learning effort.

Centralization versus decentralization

76. Whether United Nations partnerships should be facilitated in a decentralized (i.e. local) fashion or whether central (i.e. national, regional or international) support structures should be developed depends on the type of partnership in question. Project partnerships usually evolve in a highly decentralized fashion. Local ownership and detailed knowledge of micro-challenges, as well as the capacity to deliver and implement, are the defining features of successful project partnerships. In fact, dozens of partnership projects and, indeed, some of the most successful ones, have evolved bottom-up, often starting as small experiments and eventually growing (or failing) as implementation occurs. Strategic partnerships, however, are often initiated with the help and policy support of the central authority. In contrast, global strategic partnerships presuppose a central sustaining entity, which acts as a governance and resource hub. Such strategic partnerships may gain local ownership and take root, but support of a central authority is critical to their evolution.

The Organization's two roles: framework provider and implementer

77. The most powerful role that the United Nations can play in partnerships is that of framework provider and facilitator. The Organization is ideally placed to promote partnership-building because of its convening power, neutrality, integrity, issue leadership, expertise and ability to motivate non-State actors. Recent experience in the context of the World Summit on Sustainable Development has shown how such advantages can be used to inspire non-State actors to align their activities with United Nations goals. Specific partnerships to achieve that objective, such as the "Virtual Exhibit"[1], have shown that the Organization can leverage its core advantages.

78. In some situations, particularly in developing countries, the United Nations may have to be involved in partnerships as an implementer. The expertise developed through operational work can help to inform the partnership development process. However, there may also be tensions between the role of a neutral partnership development "broker" and a partner in implementation. United Nations bodies involved in developing partnerships where they are playing both roles should be aware of such potential tensions and should act to address them, where necessary.

Partnerships involve experimentation and risk-taking, and challenge established hierarchical structures

79. Experimentation is vital to the evolution of partnerships. Providing the institutional space in which successful partnerships can grow, while those that fail to meet the challenges are eliminated, thus promoting an evolutionary process, necessitates an open attitude towards experimentation.

80. Partnerships present a challenge to established hierarchical structures. They usually operate horizontally and transcend institutional boundaries. Their

philosophy and practice contrasts with established structures and often clashes with prevailing institutional arrangements. Reconciling the need for operational flexibility with existing organizational hierarchies is a major challenge and an invaluable opportunity for institutional change and renewal. The growth of partnership approaches across many United Nations entities has already brought about significant change. However, the key to successful change is leadership. Providing encouragement to agents of change within United Nations entities, while ensuring integrity, has become an important feature of successful institutional change.

Characteristics of Successful Partnerships

The development of effective partnerships is an art, not a science. Creativity and innovation should be encouraged. Different partnership modalities will suit different objectives and contexts. However, many successful partnerships share the following characteristics:

- A wide range of partners from different stakeholder groups, with complementary competencies
- Shared vision of, and commitment to, partnership objectives and sufficient common interest in meeting such objectives
- A strongly participatory approach, which involves all partners in decision-making processes
- Agreements which set out the roles and responsibilities of all partners and include clear targets
- Honest, open and regular communication both within the partnership and with external stakeholders
- Recognition that different stakeholders have different types of power and/or resources to bring to the table (e.g. economic power, political power, moral credibility, and development know-how) and that all of those resources have an important role to play in delivering the partnership's objectives
- Willingness to innovate and take risks, as well as the willingness of partners to share risks
- Flexibility and openness to changing strategies when problems occur
- Reporting and evaluation mechanisms that ensure transparency and accountability
- Clear linkages between partnership objectives and processes and intergovernmental frameworks
- Strong linkages with local and/or national-level decision-making processes and stakeholders and a commitment to meeting local needs

V. Challenges ahead

81. If the United Nations is to exploit the potential benefits of partnership with non-State actors fully, there is a need for the Organization to take a more systematic approach to promoting their development. Such an approach will need to meet the following challenges:

Ensuring that partnerships support and do not undermine formal intergovernmental processes

82. Some stakeholders have expressed concerns that in focusing on the development of voluntary partnerships, the United Nations could divert attention away from and reduce the pressure on Governments to implement goals. While such fears must be taken seriously, experience has shown that in many cases partnerships can play a key role in facilitating intergovernmental decision-making and in supporting the development and implementation of effective policy at the national level. As the United Nations expands its use of the partnership model, it will be imperative that all parts of the Organization ensure that the partnerships are supportive of, and complementary to, formal United Nations processes and national-level policy-making. It is also important to assess whether partnerships that state that they support United Nations objectives are, in fact making concrete contributions towards implementing those objectives.

Incentives for staff to build partnerships and innovate

83. Since the publication of the Millennium report there has been a strong emphasis on partnerships at the highest level within the United Nations. However, training and capacity-building are important. They should also encourage innovation and risk-taking. The United Nations Staff College in Turin, Italy has already built up considerable expertise and has organized a number of training courses and undertaken pilot initiatives to enhance the capacities of the United Nations system in dealing with the private sector. Further strengthening the Staff College in that area could foster positive institutional change.

Creating robust and inclusive approaches to partnership assessment

84. Transparency and accountability are important for all United Nations partnerships with non-State actors. Apart from internal integrity measures there is a need to assess and identify methodologies for best practices. Methodologies for assessments should be participative and involve both the organizations concerned and wider groups of stakeholders interested in the issues being addressed. United Nations processes for assessing partnerships should also be linked to decision-making about whether to maintain or abandon partnerships that are failing to deliver on their objectives.

Sharing lessons learned and identifying best practices

85. A body of knowledge about successful partnership processes is already developing within many parts of the United Nations. However, there needs to be a stronger focus on disseminating that knowledge throughout the United Nations system. Active (e.g. meetings-based) and passive (e.g. web-based) strategies need to

be developed. United Nations-system focal-point meetings should be held on a more regular basis.

Developing skills for brokering and facilitating partnerships

86. Effective facilitation can play a key role in the development of successful partnerships. While the United Nations already has some experience in brokering and facilitating partnerships, there is a need to develop those skills more systematically throughout the Organization. Training should draw on the lessons learned by successful United Nations partnerships and should seek to professionalize partnership-building skills. Arguably, it would be a good idea to create specialist teams of facilitators and/or brokers as a resource available to all parts of the United Nations system. Incentives for offices to initiate partnerships should also be created.

Providing funding and other resources for partnership processes

87. Partnership development is a resource-intensive process. Partnership processes are also more risky than conventional projects, as their outcomes are less predictable. If the potential of partnerships is to be fully exploited, the United Nations will need to take the risk of committing time and money to partnership development processes. It may be desirable for some parts of the United Nations system to support partnership development.

Creating strategic partnerships that scale up and/or replicate best practice

88. Many of the partnerships that have been developed by the United Nations have had a relatively narrow focus on one type of activity. While such projects have often been extremely effective within their remit, if the full potential of the partnership model is to be exploited, the United Nations will need to focus on *strategic partnerships*, which by working simultaneously on different types of activity (e.g. supporting the development of effective policy frameworks, using public funds to leverage private investment and using private sector and civil society know-how to deliver new approaches to operational delivery), are able to scale up their impact and create far broader and more sustainable progress towards meeting the Organization's goals.

The role of Governments

89. In addition, if the maximum benefit is to be derived from the opportunities offered by partnerships, Governments will also have to address new challenges. National Governments are key partners in many existing United Nations partnerships and have the capacity to act as framework providers for their own partnerships, both nationally and internationally. In order to exploit the potential of both Organization-led and their own partnerships fully, Governments will also need to:

- Develop partnership-brokering skills
- Provide incentives for the development of partnerships
- Encourage experimentation and innovation
- Provide seed funding for innovative and promising approaches

90. Governments can also play an important role in encouraging responsible global corporate citizenship, which should lead more companies to become involved in partnerships. They are also well placed to devise effective means of linking partnerships to intergovernmental frameworks and for helping to foster the systems of accountability that will be needed to strengthen the legitimacy of partnerships.

VI. Conclusion

91. **Partnerships with non-State actors play a growing role in the work of the Organization. United Nations entities have built up expertise and capacities and have learned how to work with non-State actors in support of United Nations goals. Recently, United Nations conferences have given further impetus to the growth of partnerships, in terms of both project partnerships on the ground and strategic global partnerships. Partnerships play a particularly important role with respect to the implementation of commitments made at the major United Nations conferences and summits, and to working towards the Millennium Development Goals. Partnerships also facilitate institutional change and help the Organization learn how to become more effective. Strategic global partnerships around responsible corporate citizenship offer the additional opportunity to combine advocacy of universal values with renewed efforts for practical solution-finding.**

92. **However, in order to exploit fully the potential contribution that partnerships can make to the Organization's work, there is a need to implement a more coherent and systematic approach to developing and supporting partnerships across the United Nations system. Such an approach should be geared towards helping the Organization respond to the challenges, including the need to provide stronger incentives for the development of partnerships, to share best practices more systematically, to develop a stronger partnership-brokering skill-base, to create more robust processes for partnership-reporting and accountability, and identifying and disseminating best practices and developing generic partnership tools and guidelines.**

93. **Given that many different parts of the United Nations system are involved, promoting a common approach to partnerships will require additional efforts regarding internal consultation and coordination. The Partnership Office, which will bring under one umbrella the Global Compact Office and UNFIP, will be well placed to build on lessons learned thus far, as well as to enhance quality assurance and provide a more solid institutional framework in support of new and promising initiatives. The Partnership Office will also identify the most promising strategies for ensuring that the United Nations takes a more systematic and coordinated approach to developing effective cooperation with non-State actors. In addition, it could be tasked with considering the important political issues raised by the Organization's increased use of partnership approaches as a modality for delivering its goals. That will allow the extensive expertise in partnership-building that has been developed across the United Nations system to be put to work in developing a systematic and effective framework that can then be used to help find the most effective solutions to the pressing priority goals at hand.**

Notes

[1] See www.virtualexhibit.net.